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Andrews University

School of Education

INSTITUTIONAL EFFECTIVENESS: THE INTEGRATION OF PROGRAM
REVIEW, STRATEGIC PLANNING, AND BUDGETING PROCESSES
IN TWO CALIFORNIA COMMUNITY COLLEGES

A Dissertation

Presented in Partial Fulfillment

of the Requirements for the Degree

Doctor of Philosophy

by

Eileen Knight White

March 2007

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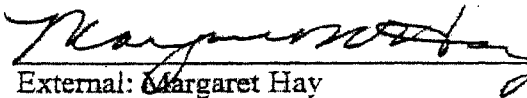
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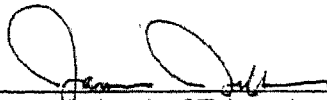
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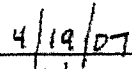

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ABSTRACT

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ABSTRACT OF GRADUATE STUDENT RESEARCH

Dissertation

Andrews University

School of Education

Title: INSTITUTIONAL EFFECTIVENESS: THE INTEGRATION OF PROGRAM REVIEW, STRATEGIC PLANNING, AND BUDGETING PROCESSES IN TWO CALIFORNIA COMMUNITY COLLEGES

Name of researcher: Eileen Knight White

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Problem

Effective institutional planning is vital to the ability of community colleges to deliberately respond to external and internal pressures to increase accountability and demonstrate institutional effectiveness. A significant indicator for assessing the effectiveness of a program review process is the use of the outcomes for other institutional purposes such as research, planning, and resource allocation—in other words, informed decision making. In the past, program review, planning, and budgeting processes for the most part have been independent functions or limited in their integration within an institution. The literature provides theories of integration, but little has been written about how these theories are successfully implemented.

Method

This multiple case study describes, compares, and contrasts how two California community colleges connect program review to institutional planning and decision-making processes. Utilizing a qualitative research design, data gathered over a 4-year period included interviews and focus groups of administrators, faculty, staff, and students, on-site observations of various planning and budgeting processes, and extensive document analysis. The research objectives were to (a) examine how program review outcomes are integrated into the planning and budget processes and (b) determine the critical components of a successful integration process.

Results

Each college has its own way of integrating academic planning and decision-making processes. Each institution has its own leadership style and unique culture that are determining factors in integration. However, the more skillful, stable, and trustworthy the leadership and the more open, flexible, data-informed, and collaborative the culture, the more integration-friendly an institution will be. Strong, authentic shared-governance models provide a balanced distribution of power that engenders greater participation—*power with, not power over*.

Conclusions

Integration of program review outcomes, strategic planning, and budgeting increases the effectiveness of colleges. These components are more effective when leadership and institutional culture are considered and over-laid on the institutional structure, which affects organizational behavior. This study provides a new contextual

model and lens to view the integration process holistically, including the major processes in relationship to the institutional culture and how that relationship can enhance the effectiveness of the organization.

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CHAPTER 1

INTRODUCTION TO THE STUDY

Introduction

Institutional effectiveness is the term initiated by the Southern Association of Colleges and Schools (SACS) that describes the ongoing, comprehensive, and institutionally integrated system that colleges and universities use to achieve their mission priorities and goals and to measure how well they accomplish their goals and purposes as a result of their planning efforts. The New England Association of Schools and Colleges advocates that the “effectiveness processes inform planning, decision-making, and resource allocations” (Cistone & Bashford, 2002, p. 1; New England Association of Schools and Colleges, 1992). Although regional accrediting bodies provide suggested guidelines for institutional effectiveness, each college and university determines what institutional effectiveness looks like and how it is implemented on its campus. To be meaningful, the effectiveness process should be integrated in the work of the college or university and not be an add-on activity (Cistone & Bashford, 2002).

The institutional effectiveness process exists to benefit the institution and provide comprehensive information about the institution’s performance. It encompasses the work of the college, its departments, and individual units. There are three levels of accountability methods: (a) college-wide assessment, (b) program review, and (c) student learning outcomes. Program review, the second component, is most closely tied to

departmental and unit strategic planning, with evaluation activities and documentation of the results being used to inform and effect change for continuous improvement within available resources (Alfred, Ewell, Hudgins, & McClenney, 1999). Cistone and Bashford (2002) stated, “The assessment methods and resulting data should also be incorporated systematically into the budget process,” thus “ensuring a link between effectiveness planning and budgets” (p. 20).

The literature describes development and implementation of an integrated process as a challenge. Cistone and Bashford (2002) concluded that institutional effectiveness can lead to better programs, services, and decision-making and “is a win-win proposition” (p. 21). My research was focused on how program review, the second level of assessment, is integrated into the institutional planning and decision-making processes at California’s community colleges.

Background of the Problem

There is increasing cynicism among the public about the extent to which educational institutions are doing what they were intended to do—educate the young to be productive citizens. The American public is questioning higher education’s ability to provide high-quality yet cost-effective education. Every educational institution, K-16 and beyond, is affected by demands for increased accountability. Current issues in higher education are centered on accountability due to diminished fiscal resources, business and industry’s expectations of graduates, and the federal government’s interest in exploring and implementing performance-based funding. This situation requires that planning and decision-making processes become integrated to provide sound fiscal utilization of educational dollars and to assure the effectiveness of the institution. Program review,

planning, and budgeting processes have not been integrated in the past. The purpose of this study is to identify and compare effective processes used by two community colleges that are intentional in their efforts to connect program review to the institutional strategic planning and budgeting processes.

Since the 1960s, higher education has seen many “significant and rapid changes . . . including new societal values and demands, changes in work force and constituency attitudes, and even changes in the function and purpose of many of the institutions” (Bonser, 1992, p. 506). In some places, the purpose of higher education has changed from liberal arts to professional/vocational emphases, from a core curriculum to elective anarchy, from face-to-face to distance education, and from a service industry to a for-profit industry. “The stresses on higher education are greater, the stakes are higher. . . . And the likelihood of maintaining the status quo is low indeed” (Hairston, 1996, p. 32). External forces such as economic uncertainty and changing demographics challenge college planners. “It is clear to us now that our old planning processes ‘worked’ only so long as we perceived *status quo* as the future” (Scarafiotti & Helminski, 1997, p. 201).

However, a new paradigm is emerging—one that will enable rapid change. Baker & Associates (1992) argued that the new paradigm would occur during a time of “turbulence, scarce resources, declining enrollments, soaring attrition rates, increasing illiteracy, student diversity, and shrinking program offerings” (p. ix). They believed that colleges will have to do more with fewer resources and respond to political forces that are demanding greater accountability.

Nichols (1995) named this new paradigm the Institutional Effectiveness Paradigm, with the critical elements being the establishment of an expanded statement of

purpose, the identification of intended instructional, research, and service outcomes along with administrative objectives, assessment of the extent to which the intended outcomes and objectives are being accomplished, and adjustment of the institution's purpose, intended outcomes/objectives, or activities based on assessment findings (p. 7).

Political and educational leaders are pressing for more efficiency and effectiveness from higher education institutions, which can be seen in the proliferation of legislation requiring accountability in return for funding. Peter T. Ewell (1997), Senior Associate at the National Center for Higher Education Management Systems, noted that by the early 1980s an active and vocal group of governors was instrumental in changing the perception of higher education from "an enterprise intended primarily to provide benefits to individual citizens in the form of enhanced income and greater social mobility" to a "*collective investment*, with payoffs visible not only to individual citizens, but at the social level as well, in the form of economic growth and workforce competitiveness" (p. 10). Alexander (2000) agreed that "universities, once portrayed as cultural training grounds for young minds, have become major agents for government investment in human development. . . . Higher education is viewed as a vehicle to increase the stock of human capital that enables more effective competition in world markets" (p. 4).

Specific to community colleges, Boggs (1998) called for a new paradigm that would "define the colleges as learning rather than teaching institutions." He believed "the mission should be student learning, and we should measure our effectiveness based upon learning outcomes" (p. 4). Alfred (1998) noted that many forces were influencing the way community colleges were beginning to measure effectiveness, including

changing competitors, changing student expectations, and increasing pressure for accountability.

Accrediting agencies have also been challenging colleges and universities to provide evidence of their performance in meeting their stated mission, purpose, goals, and objectives—institutional effectiveness. Keith (1998), in his discussion of the responsive university in the 21st century, pointed out that “two-thirds of the state governments now require some form of institutional assessment” and “all six accrediting agencies have policies requiring colleges and universities to assess their effectiveness” (p. 169).

Standard Three (Institutional Effectiveness) of the Western Association of Schools and Colleges, the accrediting commission for California’s Community and Junior Colleges, reads,

The institution, appropriate to its mission and purposes as a higher education institution, develops and implements a broad-based and integrated system of research, evaluation, and planning to assess institutional effectiveness and uses the results for institutional improvement. The institution identifies institutional outcomes which can be validated by objective evidence. (Western Association of Schools and Colleges, 2001, Part 2, Standard 3)

Community college administrators and faculty have gradually begun to accept the process of assessing the effectiveness of educational intentions and actual outcomes (Hudgins & Mahaffey, 1998). However, now that the community colleges’ faculty, staff, and leadership have become convinced that they need to plan for the future and are investing time and energy in planning efforts, many find it difficult to create effective planning processes and to refine their planning structures to accommodate a complex planning environment (The RP Group, 1997, p. i). Barak and Sweeney (1995) stated,

Less apparent in the literature is how program review relates to other decision-making processes on campus such as planning, budgeting, and, a more recent arrival on many campuses, student outcomes assessment. (p. 3)

Tradition has often kept three of the most critical management processes functioning in isolation from each other: program review, strategic planning, and budgeting (Arns & Poland, 1980; Barak, 1986; Barak & Sweeney, 1995). Kells (1989) and Mets (1997) suggested that a fully integrated system must include program review, and, if it does not, the system's full potential cannot be realized. In the next sections, each of these critical processes is discussed individually, followed by a section on the integration of the three.

Program Review

Program review, a constructive program evaluation process, has become widespread in American post-secondary institutions. Most colleges and universities have some form of self-evaluation that is used to assess academic and institutional support programs (Mets, 1997). Increased mandates for program review and more prescribed institutional effectiveness criteria, as promulgated by external accrediting bodies, are of critical concern to the entire higher education community.

There is extensive literature on program review describing its origins, its design and implementation, and the motives that stimulate its use. In the late 1950s and early 1960s, higher education responded to perceived customer dissatisfaction with public education, the need to be accountable for increased federal funding, and the increased development of vocational programs, which resulted in greater pressure for improved effectiveness of educational programs. Thus, the specialized evaluation process known as program review emerged (Barak & Breier, 1990; Conrad & Wilson, 1985).

Program reviews can be categorized into four basic types based on the primary motivation for the review: (a) formative reviews are internal reviews designed and implemented for continuous improvement of programs, (b) summative reviews are external reviews conducted for program certification, accreditation, or accountability, (c) public relations reviews raise awareness or knowledge of the importance of programs, and (d) authoritative reviews are conducted to exercise the power of a higher agency. This study discusses the first two types of program review with primary emphasis on formative reviews. Public relations and authoritative reviews are less common and are not usually considered professional evaluations (Barak & Breier, 1990).

In this study, program review refers to the evaluation process used to (a) encourage program effectiveness, including curriculum currency and a comparison to discipline and/or industry standards, (b) provide program and cost accountability, (c) increase participation of external representatives with discipline expertise, (d) inform current and future students, employees, and the community of the institution's commitment to excellence and continuous improvement, and (e) identify needed changes or modification in instructional equipment and facilities (McNeil, Newman, & Steinhauser, 2005; Spencer, 1995).

The program review process utilizes information such as enrollment and retention data, student success rates, persistence, faculty/student ratios, full-time to part-time faculty ratios, student satisfaction, faculty self-studies, and cost-benefit indicators. The desired final outcome of a sound program review process is that it is logical, rational, and user-friendly. Foremost, it is perceived by its users as instrumental to achieving the mission of the program and the institution. Therefore, this process fits into the

governance and decision-making structures for the college (Barak & Breier, 1990; Friedel, 1989; McNeil et al., 2005; Spencer, 1995).

The literature also shows that “where program review is implemented properly and used effectively, it proves to be a useful tool for improvement and change” (Barak & Mets, 1995, p. 1).

In the late 1970s and early 1980s, program review became a major management tool for making strategic choices during times of fiscal constraint. . . . It appears equally likely today that institutions engage in program review to respond to demands for increased accountability or to improve quality. (Mets, 1997, p. 350)

Briggs, Stark, and Roland-Poplawski (2003) identified four criteria that describe continuous planning departments: (a) engagement in ongoing curriculum planning efforts, (b) responsiveness to internal and external factors and future influences, (c) maintenance of a high level of faculty involvement in curricular issues, and (d) use of relevant information about successes and failures to inform the process. These descriptors suggest that departments are actively and continuously involved in reshaping their curricular offerings; however, there is a need to have these results and processes connected to the wider institution (Briggs et al., 2003; Floyd, 1985; Mets, 1997; Spencer, 1995).

Program review can be linked to institutional planned change efforts by having the findings considered and utilized in unit and departmental planning, institutional strategic planning, and other priority-setting activities. To increase its level of success, the process should be logical and developed by a representative broad-based group of the institution’s constituents, with strong faculty input (Briggs et al., 2003). Its purpose is to stimulate and support dialogue around continuous improvement and systems thinking. Embedded in the program review process is the assumption “that it is healthy to promote

the institution as a loosely coupled system by granting units some autonomy to set their goals and objectives, flexibility in management, and resources they manage themselves to achieve their ends” (Mets, 1997, p. 352).

Three factors are necessary for successful program review: leadership, communication, and integration of program review with other institutional management processes. Barak and Sweeney (1995), Hoey (1995a, 1995b), Mets (1995a, 1995b), and Wroblewski (1995) deemed that these three factors are critical to ensure the implementation of the program review process and outcomes. Clear communication between leadership and process participants is needed to sustain dialogue regarding institutional goals and unit recommendations. Embedding program review within the management functions of the institution is essential to its success. “The results of program review can guide all other decision making within the institution, particularly those [decisions] that relate to setting priorities and allocating or reallocating resources in order to achieve planned change” (Mets, 1997, p. 354).

Strategic Planning

“Planning is a formalized procedure to produce an articulated result in the form of an integrated system of decisions” (Mintzberg, 1994, p. 12). Planning has evolved over time from long-range planning (1950-1975), to strategic planning (1975-1995), to contextual planning (1995 and beyond). Long-range planning is a numbers-driven forecasting process that is responsive to a predictably changing environment. Strategic planning is a qualitative, idea-driven process that builds on anticipated future trends, data, and competitive assumptions that provide a clear organizational focus. Contextual planning may include long-range and strategic planning and is a proactive process that

focuses on creating and shaping internal and external contexts that are favorable to institutional mission (Morrison, Renfro, & Boucher, 1984; Peterson, 1997).

Strategic planning is a complex and ongoing process of organizational change that requires an understanding of the nature of the issue or problem and then the finding of an appropriate response (Rowley, Lujan, & Dolence, 1997a). Strategic planning traces its beginnings to large-scale military operations and most of the “literature on strategic planning concentrated on the military, national-international statesmanship, and the corporate world until the past 30 years” (Dooris, 2002-2003, p. 26). Strategic thinking and action were based on the need to overcome an enemy or strong threat, or the desire to achieve a goal through competition.

From the 1960s to the mid-1970s, institutions of higher education enjoyed public confidence, and, as the industry grew, the emphasis in planning was primarily on new and larger facilities. In the late-70s, colleges and universities were confronted with social, economic, demographic, and technological changes along with reduced birthrates that affected the number of high-school graduates.

Through the 80s and 90s, more and more colleges and universities adopted some form of strategic planning. However, since the model used was “developed by the corporate sector based on hierarchical organizational structure,” higher education experienced “mixed results adapting this model to organizational structures that call for collegiality and equitable participation in the decision making process” (Waters, 1996, abstract; see also Floyd, 1985; Schuster, Smith, Corak, & Yamada, 1994; Yukl, 1998).

There was a growing sense that most strategic planning was too linear and structured—lacking in opportunities for the flexibility and creativity needed to adapt to

changing circumstances. Dooris (2002-2003) identified four thought leaders who were critical of the planning process and the lack of observable results in institutions: Henry Mintzberg, Tom Peters, Robert Birnbaum, and Frank Schmidtlein believed that the business practices that have been applied to higher education have had brief and limited evidence to support claims of success. Birnbaum (2000) stated that “the fundamental fallacy of strategic planning, in business or education was the implicit assumption that the analytic processes of planning can lead to the synthesizing process of strategy” (pp. 73-74). Mintzberg (1994) said, “Organizational strategies cannot be created by the logic used to assemble automobiles” (p. 13). Given the concept of shared governance, Schmidtlein and Milton (1990) saw a “fundamental conflict between the concept of planning and pluralistic democratic forms of decision making” (p. 164).

Marchese (1997), who welcomed total quality management (TQM), also known as Continuous Quality Improvement (CQI), in the early 1990s, came to realize that thousands of institutions never engaged in TQM strategies, many that started the quality journey never completed it, and those that have continued have little evidence and data to show for their efforts. Marchese (1997) realized that CQI required too great a change, required too much time and effort for reasons that were unclear, with too little support and buy-in from administration and staff. These management theories, or fads, as Birnbaum (2000) refers to them, have had little effect on American higher education. Yet higher education, including its accrediting bodies, continued to believe that strategic planning of some sort is beneficial (Bryson, 2004; Keller, 1997; Peterson, 1997; Salluzzo, 1999).

The Research and Planning Group, an organization of professional research and planning officers in the California community colleges, has identified a number of reasons to participate in planning: (a) to support the institutional mission and vision, (b) to provide a clear, shared direction for action, (c) to ensure fulfillment of goals and objectives, (d) to allocate resources effectively, (e) to encourage meaningful participation of constituents, and (f) to strengthen the organization (The RP Group, 1997).

Strategic planning is a dynamic and iterative process that involves building consensus among participants who have a stake in the outcome. Strategic planning is holistic as it sets the course and gives direction for several years in the life of an organization. Although the process gives structure, it must be flexible enough to adapt to changing times and events that affect the organization.

Case (1998) explained further,

Strategic planning has to be an active, explicit process. If the plan sits on the shelf, or if it sits unexamined and unexpressed . . . it is worthless. A strategic plan has value only if it serves as a guide to action . . . if people know what the objectives are. (pp. 21-22)

How does a college or university learn new ways to do planning? Many institutions publish their strategic plans on the World Wide Web, and there is a sense that institutions can learn from one another. But as the emphasis shifts from products to processes, research efforts need to document how the plans are developed (Keller, 1997; Peterson, 1997). Who is involved and how does the process evolve? Howell (2003) stated, "Perhaps the most important element in the strategic planning process is the people" (p. 3). He further suggested that without understanding the people and the culture in the institution, institutions will struggle in their efforts to adapt to the dramatic forces influencing higher education today.

Prinvale (1992) stated that future research is needed to investigate how the use of strategic planning affects other aspects of the functioning of an institution of higher education. It is possible that in the “new paradigm,” strategic planning committees will be replaced by institutional effectiveness planning groups.

Budgeting

Caiden (1988) captured the importance of budgeting by stating, “Long ago, when people wished to discern the shape of things to come, they looked to the stars; today they look at the budget” (p. 42). Budgeting is the management process of making collective decisions that distribute resources to enable actions and plan implementation. “Preparing a budget is a tremendously important process for an organization: It translates the goals into workaday numbers” (Case, 1998, p. 76).

The budget’s primary purpose is to bridge the distance between intention and action and it is the mechanism used by an organization to carry out its plans and indicate its fundamental priorities and beliefs for the present and the near future. Therefore, the budget is a critical management tool and is the financial expression of the institution’s intentions over the current year as well as the long-term financial outlook.

There are a variety of methods whereby organizations can create their budgets. The selection of the approach most often depends on the size and structure of the organization. There are three most common approaches: top-down, bottom-up, and bottom-up/top-down.

The top-down approach means that the organization’s upper management completes and distributes the entire budget or decides the total budget and then distributes targeted amounts to middle management to develop their budget that matches

those targets. In either method the budgeting process has minimal participation from departments or operating units. The advantages of this approach are the reduction of redundancy and time required to complete the budget. The disadvantages are reduced understanding and effective communications, possible reduced employee motivation and buy-in, especially at the middle management level, and upper management may have less access to information and knowledge that could be provided by those left out of the budgeting process (Chabotar, 1999; Rasmussen & Eichorn, 2000).

In the bottom-up approach, the budget is initiated at the departmental or unit level of the organization. Upper management then coordinates the budget process and provides the final approval. Guidelines and targets are provided by local managers to departments/units, and they are allowed to create their own budgets. For this approach to be effective, management must communicate institutional strategies, goals, and objectives to those participating in the budget process. Once the budgets are received they are reviewed and consolidated in a final budget. The advantage of this more open approach is greater employee involvement and motivation, increased communication among and within the departments/units, and increased accuracy because local managers have the most accurate information for the department. The disadvantages are a more time-consuming process and possible data inaccuracies due to limited information sharing (Rasmussen & Eichorn, 2000).

The bottom-up/top-down approach joins and balances the best of both approaches. There is collaboration of both upper and local management in the sharing of data and the development of the budget. The challenge is the balance of direction and

communication so that the process is beneficial to all participants (Rasmussen & Eichorn, 2000).

Jones (1993) stated that

there is a need for strategic budgeting as well as strategic planning, for an approach to budgeting that reflects an institution-wide perspective on resource allocation, that focuses on the basic asset structure of the institution rather than on the prices of those assets, and that puts central administration in a proactive rather than a reactive role in this process. (p. 7)

Budgeting as practiced in higher education has its origins in business and government management theories and practices. From prior year incremental budgeting, to line-item budgeting, to program-based budgeting (1960-1974), to zero-based budgeting (1970-1985), to balance scorecard (1992 and beyond), benchmarking, and activity-based budgeting, business and government have influenced procedures intended to bring businesslike organization and operation to education (Birnbaum, 2000; Rasmussen & Eichorn, 2000). These models provided colleges and universities with the means to develop a customized method that meets their institutional needs (Spencer, 1995).

Incremental budgeting, the oldest and most established form for colleges and universities, is based on the prior year's actual financial results with a set or calculated percentage being adjusted up or down to the categories. While this method is most effective when there is knowledge and understanding of the events that led to the prior year's actual results or when it attends to a single ongoing priority, it is not useful for converting plans into action or advancing accountability (Jones, 1984; Rasmussen & Eichorn, 2000).

Zero-based budgeting is based on the premise that there were no prior allocations or balances in the previous year—the starting point is zero. This process is more labor intensive but should yield more accurate results because all planned activities that are known and expected costs are included. This method requires a deeper look at all planned expenditures as well as revenue streams.

A balanced scorecard is a tool that can be used to link institutional strategies to the overall vision and mission. The intent is to “focus on the financial and non-financial metrics” (Harvey, 1977, p. 33) that measure how well an organization is performing, to “focus only on that information that is relevant to decision making” (Harvey, 1977, p. 34), and therefore devote more time to analyzing a narrower set of more relevant data. The greatest challenge is identifying the goals and necessary measurements and communicating them clearly. “By linking the operating plan with overall corporate strategy, the relevance and effectiveness of the operating plan is increased” (Harvey, 1977, p. 36).

Benchmarking is the planning and budgeting process of “comparing your actuals with not only your own budgets and forecasts, but also with your key competitors and industry averages” (Harvey, 1977, p. 37). The process is benefited by the speed of on-line data, but it may not result in as accurate information as more long-term research would have provided.

Activity-based budgeting is another innovative approach that links the budgeting process to organizational strategy. Activity-based budgeting “allocates resources based on activity workloads rather than on individual general ledger line items” (Harvey, 1977, p. 38). This approach allows the budget to become a strategic planning tool because it

focuses on the activities and the cost drivers of those activities, which allows alignment between the budget and anticipated operations (Rasmussen & Eichorn, 2000).

These and other budget planning models such as management by objective (MBO) have been questioned by Birnbaum (2000) in *Management Fads in Higher Education*, where he argued that “MBO floundered because its assumptions of a hierarchy of mutually acceptable goals did not accurately reflect how the complex social systems in which it was tried actually worked” (pp. 50-51), leaving decentralized management teams. Brinkman and Morgan (1997) described educational planning and budgeting assumptions and their impact on the future by stating, “We envision a fast-moving environment of shifting competition and changing opportunities” (p. 289). These assumptions, in addition to relatively difficult fiscal circumstances, have significantly reduced the tolerance for error, therefore, “conditions favor the fast and surefooted” (p. 289). “Most observers see the annual budget, rather than the skillfully crafted institutional plan, providing a true portrait of an institution’s priorities” (Phelps, 1996, p. 6). Yet as the accountability process moves forward, it becomes increasingly obvious that planning and program review must inform budget decisions.

Salluzzo (1999) stated, “An institution that creates collaboration between planning and budgeting generally is one with clear direction (as defined through its mission and strategic plan) and focus on achieving the goals established in the strategic plan” (p. 62). Rasmussen and Eichorn (2000) agreed that “with the surge in interest in budgeting and planning, companies should be spending more time on improving their internal communication processes and streamlining their different planning processes

and the integration between them” (p. 11). Chabotar (1999) added, “Finally, the essence of strategic budgeting is its explicit link to the institution’s strategic plan” (p. 18).

Integration of Program Review, Budgeting, and Strategic Planning

In the previous sections, the individual processes of program review, budgeting, and strategic planning have been described in a rather linear fashion. The challenge now is to link these processes into a meaningful and useful model. Kaufman, Stith, and Kaufman (1992) wrote that the development of a comprehensive model of integration requires that “strategic thinkers switch from dealing with one’s organization as a splintered aggregate of dissociated parts to dealing with one’s enterprise as an integrated holistic, ethical, and responsible system” (p. 39). This section describes the major integration models introduced and developed by McManis and Harvey (1978), Wynn and Guditus (1984), and Getzels-Guba (as cited in Spencer, 1995).

As early as 1978, the integration concept was introduced by Harvey L. McManis and L. James Harvey (1978) in their book *Planning, Management, and Evaluation Systems in Higher Education*. They began the discussion of a systematic approach of linking planning, management, and evaluation (PME system). They defined the PME system as a “systematic approach to planning (both long-range and short-term), a systematic approach to management, and a formal evaluation system focusing on planned outcomes” (p. 6). Although these three components were not new in higher education, the authors believed first that there was an “absence of a comprehensive planning process that integrates academic, physical, and financial planning” (p. 6). Second, they believed that “the management process should help assure that decisions reached at all levels within the institution result in actions, activities, and/or directions which contribute to the

realization of the institutions goals, objectives, and supporting plans” (p. 6). And third, the evaluation process should help enable judgment of the effectiveness of an institution’s activities; “how well [they] have done in light of the stated and agreed-upon institutional goals and objectives and determine what areas need to be strengthened in order to better equip the institution to realize those objectives” (p. 7).

In summary, a PME system is a tool, an orderly process for decision making, used to help determine where an institution is going and to manage the operational activities so that the decisions made will get the institution to the desired end. A PME system lets the institution know how effective and efficient it has been during its journey. McManis and Harvey (1978) suggested that there were a number of planning and management options, such as management by objectives (MBO), planning, programming and budgeting (PPB), or zero-base budgeting (ZBB), which, when combined with either MBO or PPB, could create a PME system. The PME system functions best when there is “a flow of information” stemming from a well-designed management information system.

Wynn and Guditus’s (1984) model portrays the academic management activities of “goal setting, planning, organizing, coordinating, directing, evaluating, managing conflict, and managing change” (p. 72) intertwined with communication and decision making. This is further described as “the warp and woof of a fabric: identifiable individual strands woven together, reinforcing and interacting with each other, while functioning together as a whole” (pp. 72-73).

Spencer (1995) described Getzels-Guba’s social system model, which “places organizational subunits into two major dimensions of organizational behavior defined as nomothetic and ideographic” (p. 3). The nomothetic dimension includes the formal

established organizational structures, patterns, and expectations, whereas the ideographic dimension consists of “informal systems based on the personality of the individuals within the organization” (p. 30). An effective organization is able to realize its mission when these two dimensions of behavior are integrated. All three models (Harvey and McManis’s, Getzels-Guba’s, and Wynn and Guditus’s) support the concept of intertwining academic management activities such as program review, strategic planning, and budgeting.

Just as the whole is greater than the sum of its parts, integration provides greater results than the three individual processes alone. The actions of each process are enhanced and reinforced through integrated planning and decision making. Thus the integration enables greater “utilization of the data, decisions, and results of the three processes” (Spencer, 1995, p. 32). This allows an institution to benefit from its investment of human and fiscal resources in these processes. Also, with each reiteration of this cycle, these efforts are institutionalized into the management structure and organizational behavior of the institution (Spencer, 1995).

Knapp (1991) suggested the “planning processes would be enhanced if greater efforts were aimed at linking budgets to strategic plans and if clear, well articulated planning processes involving all constituents are prepared” (abstract). Without the ability to redirect financial resources toward plan priorities, the purposes for and outcomes of many institutional planning activities are questionable.

The way the purposes of the Society for College and University Planning (SCUP) have changed is an indication of how planning has changed in higher education. Organized in 1966, most of the original members of SCUP were interested in facilities

planning for the sprawling campuses. Yet in 2001, the conference and publications of SCUP “encompass the full range of academic planning considerations, including governance, budgeting, student assessment, faculty workload, market segmentation, and endowment management” (Dooris, 2002-2003, p. 28). While planning activities have been moving toward informing the budgeting processes, program review processes have also been connecting more intentionally with planning and budgeting processes.

Spencer (1995) advocated an “ideal model” of integration, which includes three interactive spheres representing strategic planning, program review, and budget planning. The model describes how planning and decision-making processes work together “for the purpose of development or reassessment of the college mission and goals, estimation of probable income and expenditures, and evaluation of the success or failure of the college programs” (Spencer, 1995, p. 32).

Statement of the Problem

Effective institutional planning is vital to the ability of community colleges to deliberately respond to external and internal pressures to increase accountability and improve outcomes. A significant indicator for assessing the effectiveness of a program review process is the use of the outcomes for other institutional purposes such as institutional research, planning, and resource allocation. Schmidtlein and Milton (1990) strongly suggested the desirability of integrating program review with the decision-making process. A precondition to effective planning is an integrated institutional planning process, which includes program review, strategic planning, and budgeting. Yet an effective planning process with all components working together is elusive (Spencer, 1995).

Barak and Sweeney (1995) found that 27% of 2-year public institutions used program review in institutional planning and reported that it worked well. About 21% used program review in budgeting and said it worked well. And the other approximately 50% in both cases reported that the process worked “somewhat well.” The large numbers who are endeavoring to integrate program review with other processes suggest a level of commitment. However, the “somewhat well” suggests that an understanding of the processes by which integration takes place is limited and that we have much to learn. In the same study, approximately 17% of the 2-year public colleges reported that they do not use any kind of integration, or that if they do use program review in institutional planning, it is not working well. Approximately 27% of the 2-year public colleges reported using program review in budgeting and said it is not working well or do not use it at all. Nineteen percent of 2-year colleges reported that it is not used at all.

In general, the components of program review, strategic planning, and budgeting have been used individually and less frequently in various combinations such as program review and strategic planning or planning and budgeting. However, in spite of the extensive literature available on planning, there are relatively few documented examples in which it has been successfully applied. Studies of successful planning efforts have not provided data and analysis necessary to identify critical elements of effective planning; therefore, they are for the most part anecdotal. There remains an urgency to identify effective integrated processes since state laws and accrediting bodies are mandating clearly articulated and published processes.

Purpose of the Study

The purpose of this multiple case study is to identify and compare processes used by two community colleges that are intentional in their efforts to connect program review to the institutional planning and budgeting processes. The impetus to conduct research in the area of evaluation, planning, and resource allocation is to identify effective practices and develop a useful model to meet regional accreditation agency criteria for continuous improvement and institutional effectiveness. The model will assist higher education institutions in planning for a future that will include change and greater accountability.

Research Questions

This study seeks to answer the following research questions:

1. How is program review being integrated into the institutional strategic planning and budgeting processes?
2. What are the critical components in a successful, integrated process for institutional effectiveness?

Significance of the Study

At a time when the public is demanding accountability, it is important to study institutions that are intentional in integrating program review, strategic planning, and budgeting. In the community college effectiveness literature, opinion papers consistently outnumber research papers. The topics of these papers tend to be governance, evaluations, and organization, with fewer papers on curriculum and finance. Yet curriculum and finance are critical to the effective functioning of colleges. Of the three dimensions—structures, functions, and processes—the issues related to processes are

reported less than half as often than each of the other two. The literature further indicates that the coordination and integration of these processes are minimal (Baldrige, 1983; Baldrige & Okimi, 1982; Larson, Milton, & Schmidtlein, 1988; Salluzzo, 1999; Schmidtlein & Milton, 1990; Spencer, 1995).

In 1995, Barak and Sweeney studied 2- and 4-year higher education institutions and asked the questions, Are reviews being integrated and used in other decision-making processes? and If so, has this been successful?

In addition, Spencer (1995) recommended that comparative case studies surrounding issues of integration of program evaluation/review, strategic planning, and budget be conducted at community colleges. Also, Todd and Baker (1998) suggested that more institutional effectiveness studies of accredited community colleges need to be completed and that the creation and implementation of institutional effectiveness models would benefit higher education.

These data, along with the increasing expectations from accrediting bodies that institutions engage “in systematic and integrated educational, financial, physical and human resources planning” (Western Association of Schools and Colleges, 2001, Standard 3B.3), provided a strong impetus for me to conduct this current study.

This study presents the ways two community colleges are integrating three of the critical components of institutional effectiveness.

Delimitations

This study is confined to two colleges in the California community college system. The primary criterion for this selection was their intentionality about the integration of their structured decision-making processes. Interviews and observations

were confined to those college administrators, faculty, and staff whose appointed or elected responsibilities require significant involvement with ongoing program review, strategic planning, and budgeting activities. Focus groups were confined to faculty, staff, and students who have participated in the processes or who are eligible to participate in the processes.

Definition of Terms

The following terms are important concepts and definitions used in this study.

Accountability: Institutions are responsible to their corporate governing bodies and constituents both for resources used and for goods and services produced. Most 2-year colleges produce mainly instructional and other services. As legal corporate bodies, there are responsibilities in law that must be observed by all. In addition, all have ethical responsibilities which are less well defined but no less important (McCleod & Atwell, 1992).

Assessment: Assessment is the process of descriptively evaluating the product of the institution in an objective manner. Certain basic decisions must be made at the outset for the institutional effectiveness process to be undertaken: Who is to do it? How is it to be done? When, how, and what data are to be presented? In what manner are conclusions to be drawn? Implied within this process is mission development with its attendant goals and objectives, strategic planning, and also the functions of institutional research. Within its scope are other evaluation processes: student, faculty, fiscal, program, etc. (McCleod & Atwell, 1992).

Budget: A budget is an instrument that enables the allocation of resources from one organizational unit to another (Jones, 1993, p. 5).

Budgeting: Budgeting is a process of making decisions that distributes resources to enable action (Jones, 1993, p. 5).

Culture: Culture is a pattern of basic assumptions invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration that has worked well enough to be considered valid, and therefore is taught to new members as the correct way to perceive, think, and feel in relation to those problems (Schein, 2004, p. 117).

Effectiveness: Effectiveness assessment determines how well an institution succeeds in accomplishing its mission. Probably the best way to determine effectiveness is to find out if clearly defined specific objectives are accomplished within a given time period. Objective verification can be of two kinds: those objectives that are either accomplished or not (i.e., the grant was funded) and those objectives that are accomplished in some degree (i.e., percentage graduated) (McCleod & Atwell, 1992).

Excellence: Excellence means executing the mission of the institution in the best manner possible. Given the fan of environmental change, the mission then must be viewed as a moving target rather than a static one (McCleod & Atwell, 1992).

Institutional effectiveness: Institutional effectiveness is the condition of achieving the set goals of an institution and being able to verify the attainment of these goals with specific data which show the degree or quality of their attainment. Where the principle goal or goals of the institution relate to instruction and student services, emphasis is placed on student outcome assessment. Institutional effectiveness data include measures of effectiveness, productivity, efficiency, and relative excellence or quality.

Assessment is the overall process of measurement and comparison against set standards. Effectiveness measurement relates principally to the degree to which institutional goals are met. Productivity measurement relates mainly to the comparative amount of institutional output. Efficiency measurement is a more narrow assessment limited to unit costs of production apart from quality or amounts of production. Quality measurement is also a narrow assessment intended to assess the degree of excellence of output apart from amount produced or production costs. A proper model of general institutional effectiveness must have all four components present in the appropriate proportion best suited to describe the specific institution (McCleod & Atwell, 1992).

Mission: Mission is the second descriptive level of productivity for an institution. Whereas the initial statement of purpose is the first level and is normally defined externally, usually in law, mission is usually internally defined. The mission statement defines in general and philosophic terms all of the production areas of the institution. It is further subdivided into operational goals and then specific objectives (McCleod & Atwell, 1992).

Organizational culture: An organization's culture is reflected in what is done, how it is done, and who is involved in doing it. It concerns decisions, actions, and communications both on an instrumental and a symbolic level (Chaffee & Tierney, 1988, p. 7).

Process: A process is a measure of productivity and may be referred to as a throughput, as opposed to an input (resources) or output (product). It is a means to an end, but not an end product. Where other management improvement schemes, such as

total quality management (TQM), focus on process, institutional effectiveness assessment focuses on product (McCleod & Atwell, 1992).

Strategic decision making: Strategic decision making means making the optimal choice or the choice that best fits the needs of the institution's strategic plan or strategic management (McCleod & Atwell, 1992).

Strategic learning: Strategic learning is the institutional process of learning from successes and failures for the purpose of informing the institution during the next stages of the strategic planning or strategic management process (McCleod & Atwell, 1992).

Strategic management: Strategic management occurs when the institution's attention and focus are applied to maintain an optimal alignment with the environment (McCleod & Atwell, 1992).

Strategic planning: Strategic planning is a formal process designed to help an organization identify and maintain an optimal alignment with the most important elements of its environment (McCleod & Atwell, 1992).

Strategic thinking: Strategic thinking is the arraying of options through a process of opening up institutional thinking to a range of alternatives and decisions that identify the best fit between the institution, its resources, and the environment (McCleod & Atwell, 1992).

Organization of Study

Chapter 2 addresses the methods of qualitative research (case study) used in this study to investigate how California community colleges are integrating program review, strategic planning, and budgeting, and to identify the critical components of the process and how these components relate to each other. The literature review is embedded

throughout the chapters. Chapter 3 is the first of two case studies selected from California community colleges. MiraCosta College's selection centers on its efforts to implement integration of the three processes, the accreditation visit report, and response suggesting the college as a model of sound open program review, strategic planning, and budgeting. Chapter 4 is the second case study. Santa Barbara City College is recognized as an exceptional college that is innovative in implementing its management processes, and its vision is to become the model community college for the 21st century. Chapters 5 and 6 are dedicated to the analysis of qualitative themes that emerge from both of the case studies as well as the scholarly literature. Chapter 5 focuses on the integration processes utilized by the colleges, and Chapter 6 focuses on the critical components that lead to the success of the integration processes. Chapter 7 is a summary of the study and presents discussion, conclusions, and recommendations for integration of decision-making processes for greater institutional effectiveness.

Summary

This chapter has introduced the problem of the limited integration of the decision-making and planning processes of program review, strategic planning, and budgeting in higher education, particularly in California's community colleges. It has indicated the need to collect, analyze, and interpret data from colleges that are intentional in their attempt to implement integration, as well as the need to determine how these processes are being integrated and what conditions exist to make the integration effective and successful.

CHAPTER 2

METHODOLOGY

Introduction

Preliminary reviews of the literature revealed works describing components of institutional planning, such as program review, strategic planning, and budgeting, used individually or in various combinations. Less apparent are the processes by which all these components work together for an effective whole. Since accrediting bodies are mandating the articulation of clearly defined integrated processes, it is important to identify such processes and portray them as flexible models so that institutions can understand new possibilities for their own governance.

Qualitative research design is used to document the rich diversity of meaning and perspective that participants attribute to phenomena. The research design, data collection methods, and analysis utilized in this study were informed by Burton (2000), Eisenhardt (1989), Eisner (1991), Merriam (1998), and Yin (1994). This study used a qualitative design to explore and identify the best practices utilized to integrate program evaluation outcomes into planning and budgeting processes. This in-depth comparative case study focused on two community colleges that are intentional in their efforts to connect these critical elements of institutional effectiveness (Burton, 2000).

Rationale for Case Study Method

According to Patton (1990), “Purpose is the controlling force in research” (p. 150). The purpose of this study was to investigate and develop an understanding of the processes that promote institutional effectiveness. Qualitative inquiry allows the researcher to penetrate the surface of the discussion by asking questions such as, How does this work? and Why does it work? It allows the researcher to listen to people talk about their activities and their feelings (Eisner, 1991).

Case study is a research method that “focuses on understanding the dynamics present within single settings” (Eisenhardt, 1989, p. 534). This method was selected as most appropriate since the purpose of the study was to investigate and develop an understanding of the processes and culture that promote institutional effectiveness in academic organizations. This design allows the researcher to discover patterns and themes that emerge and unfold a holistic view of a process. Merriam (1998) stated, “Case study is a particularly suitable design if you are interested in processes” (p. 33). She continued, “Anchored in real-life situations, the case study results in a rich and holistic account of a phenomenon” (p. 41). Yin (1994) stated that qualitative case study “investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident” (p. 13).

Each community college represents a “bounded system” represented by “a circle with a heart in the center” (Merriam, 1998, p. 27). The heart or focus in this study is the integration process, and the circle is each community college. Two cases were chosen with the expectation that the results of the cross-case analysis would yield more robust results than if only one case was studied (Burton, 2000). Yin (1994) supported the idea by suggesting that

any use of multiple-case designs should follow a replication, not a sampling, logic and an investigator must choose each case carefully. The cases should serve in a manner similar to multiple experiments, with similar results (a literal replication) or contrasting results (a theoretical replication) predicted explicitly at the outset of the investigation. (p. 51)

It was my expectation that the individual cases and cross-analysis would result in principles of institutional effectiveness processes that could inform other institutions as they seek compliance with accrediting bodies and endeavor to become learning organizations whose chief goal is to educate people.

Purposive Sample

The expectation for integrated processes as a standard for accreditation in California has been articulated only in the past several years so there are only a few institutions that understand and attempt to implement the process. In order to identify institutions that understood the integrated process, I asked an expert panel, consisting of an executive director of a regional accrediting body and college presidents serving on accrediting teams, to suggest possible colleges. The criteria for the purposive sample were that each institution must (a) be a California community college, (b) show evidence of continuous improvement with published processes in place, and (c) have a champion for the integrated planning process within the institution.

Four colleges were suggested. One was eliminated due to distance and accessibility, and of the remaining three, two, MiraCosta College and Santa Barbara City College, consented to be part of my study. When the prospective colleges were chosen, I communicated with the president or his designee and requested the college's participation in the study. A packet was sent to the contact person that included an overview of the

study, the main research questions, and a participation consent form. An appointment was scheduled with each college to discuss the facilitation of the research process.

Data Collection

The qualitative data utilized in this study were obtained from interviews, historical and current documents, direct observations, and participant observations.

Interviews

“Interviewing is a research strategy that seeks to move away from fixed answer questions . . . [and] provides rich and worthwhile data, while giving the researcher the opportunity to explore an individual opinion in depth” (Stroh, 2000, pp. 196, 199). Interviews allow the researcher to ask follow-up questions and seek additional responses. The interviews in this study were semi-structured with open-ended questions that allowed me to probe the perceptions and understanding of the interviewees. The interview guide was developed based on the review of the literature, program review reports, and historical documents, as well as planning and budget documents. The interview questions (Appendix A) were designed to gather clear, reflective, and insightful responses of the interviewees’ experience with the integration process (McNeil et al., 2005).

One-on-one interviews were conducted with key administrators, faculty, and staff that had significant responsibility for the evaluation, planning, budgeting, and decision-making processes. Interviews were conducted with (a) college residents, (b) chief instructional officers, (c) chief student services officers, (d) chief financial officers, (e) institutional researchers and planners, and (f) presidents of academic and classified senates.

Focus Groups

Stewart and Shamdasani (1990) stated, “Focus groups are useful for exploring the way particular groups of individuals think and talk about a phenomenon, for generating ideas, and for generating diagnostic information” (p. 140). Focus groups provide an opportunity to work with a group of ideas and allow the participants to discuss, react, and build on responses. They allow the researcher spontaneous, direct interaction with participants as she obtains “rich data” in their own words, they conceptualize and categorize phenomenon, they are invaluable for generating grounded theory development, and they can be used alone or with other methods (Oates, 2000; Stewart & Shamdasani, 1990).

Small focus groups of three to six faculty, classified staff, and student leaders were conducted to ascertain their knowledge of the processes and to cross-validate the focused administrative interviews. Morgan (1993) stated that “when the research topic involves understanding the success or failure of a particular program in a specific setting, focus groups may well be the most efficient and effective way for uncovering the reasons behind this outcome” (p. 9).

All interviews and focus groups were scheduled for 1 to 1½ hours, and, with the permission of all participants, interviews and focus groups were taped and transcribed to verify and supplement notes. The design of both the interview and focus group processes included a request that all participants develop a visual representation of their college’s integrated process.

Visual Diagramming

Dewey (1934) called the process of visual exploration *perception*. Bruner (1996) described the benefits of externalizing our mental work, suggesting that “externalization produces a *record* of our mental efforts, one that is ‘outside us’ rather than vaguely ‘in memory’” (p. 23).

I was interested in how each participant perceived the integration process, so I asked each interviewee to draw a diagram representing the way program review, planning, and budgeting processes worked on their campus. The drawings were analyzed to determine if the interviewees could identify (a) the elements of the process and (b) the relationship of the elements to one another in the process, and (c) express their understanding of the process. This data collection strategy emerged as I became involved with the research. Pink (2001) suggested there are *reflexive* approaches that serve the aims of the research questions and come from the creative mind of the researcher. It seemed clear that the participants in the study might be able to demonstrate their knowledge of the integration processes more easily by drawing a diagram rather than simply trying to describe the process.

Kesby (2000), Crilly, Blackwell, and Clarkson (2006), and Swennen, Jorg, and Korthagen (2004) used diagrams and other image-based data-gathering techniques to enhance their research. Similar to Kesby, Kindon, and Pain (2005), I did not interrupt the diagramming process once it began. I noted that some of the participants were readily able to diagram what they perceived to be the process, while others struggled to draw a representation with which they were satisfied. This may be partly because some participants were aware of only their part in the integration and did not have an understanding of the whole. Arnheim (1974) suggested that “the structure of the whole

controls the parts and vice versa” and that “each element receives its character by taking its place in the whole” (p. 176). Arnheim described how the “intuitive” mode of cognition “conveys the experience of a structure but does not offer its ‘intellectual’ analysis” (p. 177). In my study, as participants talked about their drawings and the meanings of the various parts, they were able to go beyond the intuitive and provide a description of the meanings they associated with their drawings.

Document Collection

Historical and current documents pertaining to program review, strategic planning, and budgeting were collected from each college if appropriate. These documents contained a wide range of materials relevant to the integrated process development and implementation and provided insight into the college culture. Documents collected included (a) mission statements, (b) strategic plans/college plans, (c) educational master plans, (d) budget plans, (e) curriculum and program review process and reports, (f) college accreditation reports and responses, (g) minutes and handouts from planning and budget committee/council meetings and program planning and evaluation/review meetings, (h) California community college education code, and (i) California Assembly Bill 1725 (AB 1725) (1988).

Observations

Observations provided greater intimacy and understanding of the college, the participants, and their interactions in various settings. Dates for the college site visits were scheduled to coincide with process meetings and other relevant meetings in order to participate through observation of the Board of Trustees meetings, Presidents’ Cabinets, planning and budget councils, Academic Senate meetings, and Student Senate meetings.

These observations provided opportunities for a firsthand account of the situation and validation of the processes and campus culture described during interviews and focus groups.

Data Analysis

Data from multiple sources were analyzed and themes about the integrated process—how it happens, who the decision-makers are, how information flows in the system, and the results of the process—are highlighted. Interview and focus group transcripts were manually coded to mark all passages that provided evidence of the program review process, strategic planning process and activities, budget process, and the integration of the three processes. For each interview question, the coded items from the focus groups were compared with coded items from other focus groups within the college to identify themes present across the various constituent groups. These responses were also compared with individual interviews and observations. Early in the data collection process, comments related to open communication and data availability jumped out as important concepts. In writing the case studies, these themes were used to capture the reality of each particular setting.

A cross-case analysis was conducted on the data from the two colleges. I organized the initial coded data into categories and themes in a chart format that provided further analysis, connections to literature, and guidance as I was performing the cross-case analysis. Data were compared, contrasted, and triangulated to determine the similarities and differences between the two case studies. Triangulation included comparing interview and focus group transcripts with each other, with observations, and with historical and current documents. Using the results, a basic model was developed to

assist colleges as they move towards institutional effectiveness and which could be modified as needed.

Found Poems

The implicit nature of qualitative interview data, much like poetry, whether narrative, lyric, dramatic, metrical, rhyming, or free verse, requires the reader to analyze and interpret for understanding (Bugeja, 1994). The data embedded in the interview transcripts, much like a poem, speak about categories, concepts, and meaning and make thematic statements about complex phenomena (Calloway & Knapp, 1995; Glaser, 2002). Found poetry is not only a qualitative method to textually enhance the reader's experience and understanding, but it serves as a powerful tool for representation "through its brevity and unusual juxtaposition of images" (Greene, 1998, p. 63).

The data representation of my study includes free-verse found poems that were developed after sorting, coding, and analyzing the interview transcriptions and writing the case studies. The poems summarize and emphasize key concepts and practices regarding the three educational management processes, their connections and integration, and the critical cultural components found at the colleges.

I learned the process of constructing found poems from my dissertation chair and qualitative research professor, Dr. Shirley Freed. This methodology appealed to me because it was a new and alternative way to succinctly express the concepts and principles learned during the arduous research process. It also is an approach that appeals to the postmodern emphasis on narrative, intuition, and emotions (Allnutt, 1999; Butler-Kisber, 2002).

Self as Researcher

“In a qualitative study the investigator is the primary instrument for gathering and analyzing data and, as such, can respond to the situation by maximizing opportunities for collecting and producing meaningful information” (Merriam, 1998, p. 20). As the research instrument, what did I bring to this study?

First, I have had over 5 years of experience as an institutional planner in the Office of the President and the Dean of Instruction at Fresno City College, where my primary duties were to lead the development of the college’s program review process. I sought to ensure that the outcomes would be used in an integrated institutional planning process. This had to be a process that integrated evaluation outcomes, strategic planning that incorporates the prioritized outcomes, and resource allocations to implement the institutional plan. I could not in good faith ask other faculty to participate in an evaluation process that would not benefit their program or department. At the conclusion of the development of the program review process, my duties expanded to implementation of the college’s program review process and the Chair of the Institutional Strategic Planning Task Force.

Effective planning is a prerequisite for the orderly improvement and growth of any organization. The college was embarking on its first attempt to develop its own formal planning process. The college wanted a living document that provided a framework for ongoing planning and that was flexible enough to adjust to community needs. I was charged with the development and organization of planning processes, the institutional strategic-planning task force, and its working subcommittees.

In consultation with the College President and Academic and Classified Senates, a strategic-planning task force was established to discuss and develop directional

statements, collect and process input from staff, and integrate existing college plans into an institutional strategic plan.

Second, a qualitative researcher needs three characteristics: (a) “a tolerance for ambiguity,” (b) a “sensitivity to context,” and (c) good communication skills (Merriam, 1998, p. 20). I developed and utilized these skills while representing the statewide Academic Senate of the California community colleges on faculty teams conducting matriculation program reviews. These review teams, led by the consulting firm Educational Consulting and Evaluation, conducted qualitative research determining how well the 107 California community colleges were implementing Title 5 (California Education Code, 1998; Seymour-Campbell Matriculation Act, 1986) state education regulations regarding the matriculation of students. After leaving my employment at Fresno City College, I joined the consulting firm and conducted qualitative research on Extended Opportunities Programs and Services (EOPS) programs. Although there is mandated legislation regarding this program, each of the 107 of the California community colleges has the flexibility to implement the mandates as they fit the college’s context, thus requiring tolerance for ambiguity and sensitivity to context. As consultants, we receive the prior program review, as well as faculty, student, and EOPS staff surveys. These data enable us to formulate interview questions and follow up on stated and implied issues, thus requiring listening skills. The qualitative research conducted at each college includes team leading, conducting interviews with administrators, faculty, and staff, focus groups with students, survey analysis, and oral and written reporting of findings. This is similar to the methodology chosen for this research study.

Trustworthiness of the Study

In order to increase trustworthiness of the case study, there are three tactics useful when constructing validity: (a) the collection of multiple sources of evidence for a case database, (b) the establishment of a chain of evidence through links between questions, data, and conclusions, and (c) a review of the case study draft by key informants (Yin, 1994).

All three tactics were used in this study. Multiple sources of evidence consisted of transcripts of interviews and focus groups, historical and current institutional planning documents, minutes and handouts of committee meetings and planning sessions, internal and external accreditation reports, as well as educational codes related to California community colleges. I was able to observe planning council meetings and Board of Trustees meetings held during the college site visits that helped to triangulate the themes in each institution. There were linkages between interviews of leadership, the focus groups of faculty, staff, and students, visual drawings, historical and archival documents, and observations. Finally, using two different institutions gave me the opportunity to compare themes across both community colleges. “Structural corroboration, like the process of triangulation, is a means through which multiple types of data are related to each other to support or contradict the interpretation and evaluation of a state of affairs” (Eisner, 1991, p. 110).

The visual drawings from each interviewee and the focus group participants were extremely individualized and represented their perceptions of how the administrative processes worked at their institutions. Eisner added, “Because qualitative methods are vulnerable to such effects, *it is especially important not only to use multiple types of data,*

but also to consider disconfirming evidence and contradictory interpretations or appraisals when one presents one's own conclusions" (Eisner, 1991, p. 111).

The president and institutional researcher of each college received a copy of the draft report for their respective college to review.

Ethics and Institutional Research Board

The methods for this study were approved by Andrews University's Institutional Research Board. The President of each college gave permission for the institution to be studied. Only the people who gave permission for their names to be used are identified in this study. In both cases, most people have been identified by position. To have complete anonymity would be a denial of the work of the leaders and the colleges.

Summary

The main purpose of this study was to describe how two colleges connect program review to institutional strategic planning and budgeting processes. It is expected that this study will be useful in understanding how California community colleges can improve the institutional effectiveness and integration of their administrative procedures. Administrative leadership, faculty, staff, and students from two of California's community colleges represent the purposive sample. Interviews and focus group data were analyzed to determine the similarities and differences of their integrative administrative processes. A model was developed that captures the integration process as well as other institutional aspects of effectiveness.

CHAPTER 3

MIRACOSTA COLLEGE

The mission statement of MiraCosta College states, “Challenging the present and enriching the future, MiraCosta College is a learning community pledged to principle, committed to quality, and devoted to student success (MiraCosta College, 1997b, p. 4).

The Vice President for Student Services at MiraCosta College stated that “the culture here is one of cooperation, collaboration, and shared governance, [which] always has been . . . a thing we value.”

Introduction

MiraCosta College was identified by a purposive sampling process as having an integrated program review, planning, and budgeting process. MiraCosta College’s main campus, on an over-120-acre hilltop site in Oceanside, California, provides a panoramic view of the surrounding mountains and a majestic view of the Pacific Ocean. On this campus, the college serves approximately 6,000 students. The college’s second campus, located 17 miles south of the main campus in Cardiff-by-the-Sea, is nestled on over 40 acres below a bluff overlooking the San Elijo Lagoon Reserve. This campus serves approximately 3,000 students. A third location is providing pre-collegiate preparation and other non-credit classes (MiraCosta College, 1997b). Among representatives of the Western Association of Schools and Colleges’ accrediting teams and presidents of

community colleges in California, this community college is considered innovative in the ways it coordinates institutional processes. In the local community, it is known for its responsiveness to student needs, as a good place to study, and as a good place to work (MiraCosta College, 1997c).

Unlike most higher educational institutions, MiraCosta College employs an integrated budgeting, program review, and strategic planning process. Program reviews are considered when developing the budget. Likewise, program decisions and budgeting are directly influenced by the strategic plan. In order to capture the essence of the integrated process, this chapter addresses four critical aspects: history, leadership, institutional culture, and the integration process. In doing so, it will answer the questions, How did MiraCosta develop an integrated process? and How do the various components of the integrated process relate to one another in the overall effectiveness of the institution?

History: A Community-Oriented College

MiraCosta College, like many community colleges across the nation, found its beginning in response to the Great Depression of the 1930s, which caused high unemployment and financial distress in many communities. High-school graduates had limited job opportunities and even fewer opportunities for affordable higher education near home. In 1934, the Board of Trustees of the local high-school district was determined to provide graduating seniors with an additional 2 years of education. They believed that the Depression would soon be over and that jobs would again be available for young people with post-secondary education. Thus, they began to develop a junior college department to function within the high-school district.

MiraCosta College began in September of 1934 with 115 students enrolled from the immediate county and nearby cities. Because they were housed in the high school, the new college students shared teachers, facilities, and even the same class schedule with high-school students. Students received junior certificates and were able to transfer with junior status to the University of California.

The college department grew until the start of World War II, when enrollment dropped to 55 in 1943. The Board, in response to the local and national needs, established pre-flight training courses to assist in the war effort. After the war, the Board was invited to join surrounding high-school districts to develop a larger service area, but they chose not to participate, preferring to continue to serve the communities from which they were elected.

As the baby boom of the 1950s began, college programs and student enrollment outgrew the existing facilities, and the Board authorized the construction of a “college center” that contained new classrooms and a library. In 1960, with the support of state and local educational entities, the community voted to develop a separate junior college district. Within a year, the citizens approved both the purchase of a site overlooking the Pacific Ocean and the construction of a campus reasonably priced and central to the population. By 1962, construction began, and in September of 1964 the new campus opened with about 650 students enrolled, even though few classrooms were finished.

In order to attract students from all coastal communities, the Board and college administration began the search for a name that would represent the larger community. The name MiraCosta was selected, which translated means “behold the coast.” As the construction plans for a new and larger campus were developed, the college faculty

realized that new lines of communication would be necessary. Supported by the administration, the faculty established the Academic Senate in 1963. Since its inception, the Academic Senate has remained a strong proponent of the collegial method of governance which affords faculty strong influence on issues of academic and professional import. This philosophy of shared governance, established long before the AB 1725 mandate, has helped to assure high quality education for all students by providing a context of cooperation among the board, administration and faculty. (MiraCosta College, 1997c, p. 11)

Through the 1960s, several buildings were added through state and existing local funds. Then in the 1970s, the voters were asked to provide additional tax monies for constructing and equipping buildings to expand the college's curriculum and programs. In 1975, the California Community College Board of Governors changed the rules directing the structure of community college districts. In so doing, they assigned the residents of a neighboring school district to MiraCosta College service area—doubling the population and assessed valuation of the college district and providing two additional seats on the board. This expansion created a demand for an educational center (another campus) to serve this new location. Consequently, in 1976 the Solana Beach Center was opened, offering 50 classes in the spring and then 100 classes in the fall.

As the college continued to grow during the mid-70s, the population began to change from traditional high-school graduates to include older students, many of them women, who were returning to complete their education. Ethnic minorities swelled the campus population to approximately 8,000 students, and once again the Board of Trustees began to plan for the increasing enrollment.

In November 1977, after extensive discussions with the local community, students and faculty, the board approved a \$15 million, 5-year building program. Soon thereafter, the infamous tax revolt of California residents, known as Proposition 13, shifted a larger

portion of the financial support for community colleges from local communities to the State of California, which resulted in a dramatic fiscal setback. During that time, many colleges had to rethink their curriculum and physical plant priorities. Though progress was delayed, MiraCosta was able to complete several building expansions and new projects.

In 1986, additional planning and construction of a new campus named San Elijo began, and it opened in 1988 to 2,500 new students, about 1,000 more students than anticipated. During the 1990s, the college continued to experience major changes. As the administration built new facilities and remodeled existing ones, enrollment stabilized, but a nation-wide economic recession caused property taxes to shrink.

Because MiraCosta is a “basic aid” district, deriving its income from the local property tax revenues rather than state allocations, enrollment management was necessary to balance the effect of diminishing property-tax revenues caused by the downturn in economic growth being experienced in the county. (MiraCosta College, 1997c, p. 12)

The third President, Dr. Tim T. L. Dong, arrived to lead MiraCosta College in 1994. During the next 2 years, several high level administrators retired and were replaced. As the new administration settled in, it became evident that more stringent fiscal management was needed to align the budget with the operating expenditures. The administration began to restructure and reorganize the college. For the first time, a small number of faculty and staff were laid off due to necessary budget and program changes.

Throughout these changes, MiraCosta’s faculty and staff remained true to their mission and purpose: to provide high-quality programs and services to their community. They remained focused on student needs and devoted to continuous improvement and student success.

Leadership: Central to Improvement

At MiraCosta, leadership consists of a team of people who bring various life experiences, strengths, and commitments to their work. This section describes these individuals and their contribution to the college's effectiveness. The team includes the President, the Vice President for Business and Administration, the Vice President for Instruction, the Vice President for Student Services, the Academic Senate President, the Classified Council President, and the Dean of Research and Planning. Quotes from these individuals come from interviews that I conducted with them, unless otherwise specified.

The President

Since the inception of the college there have been only three Presidents. Dr. Tim T. L. Dong became the third leader of the campuses in 1994 and continued to build on the cooperative and collaborative model already established at the college under the previous presidents. When asked how his organization functions, Dr. Dong replied,

There was a collaborative model when I got here, but there were areas where the challenge of the organization was to look at what "is" and what is rhetoric and either try to change the rhetoric or change the organization to get them to match.

This statement provides evidence of a leader aware of the notion of a collaborative culture but who also wanted the collaboration to be "real." His previous experiences with collaboration would not allow him to be satisfied with rhetoric alone. Dr. Dong, or Tim, as he is often referred to on campus, recounted his unusual history of academic employment. As he was contemplating leaving higher education and his teaching position at Pomona College of the Claremont Colleges, he received a call from Wright Institute, Berkeley, inviting him to join them in founding a new school. He had

become disillusioned with the elitist approach at Pomona and desired to work with a different type of student and faculty member.

Wright Institute, a graduate school for psychology, was being developed for adult learners with extensive social work backgrounds who were not interested in attending research-based programs at the local universities. Because of the promise of an open and creative work environment, Dr. Dong accepted the invitation and became part of the core planning group and faculty for 4 years. Starting a new school gave the founders an opportunity to establish a different kind of school. They did not want the typical top-down hierarchical management structures demonstrated by organizational charts used by others in higher education, because they recognized the structures were ineffective. Instead, they chose a very broad, open, collaborative model in which there were many meetings. Dr. Dong identified other unique features of this new school:

All faculty were no more than half-time, and you had to find something else to do because we wanted you connected with the real world. And my job there was probably one of the more interesting because I was teaching the general psychology courses, history of psychology. . . . It had very strong women leadership which was very interesting . . . and it had that strong presence of ethnic minorities.

Dr. Dong's next move was to the University of California at Los Angeles to the Asian American Studies Center, where everything was done by consensus; voting was not an option. Dr. Dong said, "It is those sort of philosophies that I have carried." From there he went to the California State University System Chancellor's Office, where he served as Assistant Vice Chancellor for Faculty and Staff Relations. He then served as the state university Dean for Affirmative Action Programs, where he spent 3 of 7 years doing program review of human resources at the 20 campuses. Also, he served as

Associate Vice President of Student Affairs at California State University, Los Angeles. At that point in his career, he was invited to serve as President of MiraCosta College.

Dr. Dong came to MiraCosta because people told him it was a good place, employed a shared governance model, and they were ready for his style of leadership. Although he had no prior community college experience, the Board was willing “to take a chance” on him. He shared, “I am not sure how many people are pleased with what I’ve done here because it’s rather subtle, but I think from my agenda, I moved us where I wanted us to move.” Dr. Dong does not view himself as visionary, yet he believes he accomplished two major changes. One was data-based decision making and the other was connecting with the community.

Data-based decision making is the foundation of the integrated management processes at this college. Data-based decision making is possible at all levels because information is readily available from the Office of Institutional Research. Dr. Dong described that the change process is moving forward very slowly, and that is part of what is hard to explain to people, that it is going to be slow because they are changing the culture.

The second change, connecting with the community, is done out of the President’s office, Student Services offices, and the Office of Instruction, where more of the vocational activities are directed. These connections allow for community input regarding programs and services that address specific educational needs.

When asked what management style or theory best approximates how he operates the college, Dong referred to a 1995 article in *Inc. Magazine* by John Case entitled “Open

Book Revolution,” based on his book *Open-Book Management: The Coming Business*

Revolution. Open book management is defined by Case (1998) as

a systematic approach to running a business, and it involves far-reaching changes in how a company operates. . . . It’s a way of doing business, and thinking about business, that reshapes an entire organization. . . . It changes how people think and act every day on the job. It creates an organization which everyone understands, cares about, and works to further the company’s business objectives. (p. x)

Case (1998) stated that while this book is a business book, “it’s about how people can work together in ways that are both satisfying and productive” (p. 215). He suggested that people want to “see themselves as partners in the business” (p. 2), and this is accomplished by organizing the company around three principles:

1. Create a transparent institution where everyone sees and understands the real numbers—income and expenditures—of the organization. Stakeholders should know how the numbers are determined and have access to them.

2. Create joint accountability systems that hold everybody responsible for their part in the organization’s performance.

3. Give people a stake in the success of the organization (pp. 2-3).

As leaders use these open book principles, they report many benefits. As one administrator summarized, “We’re all in this together. We can see what’s going on, and we have the tools we need to affect what happens. Most important, *whatever benefits the business benefits us all.*”

In summary, Case’s (1995) ideas about open book management became a metaphor and mental model used by Dr. Dong to shape the college. It was an idea that integrated well with his past collaborative experiences and one which the college

leadership team was ready to embrace, as will be discussed by most team members in this chapter.

The Vice President for Business and Administration

Although Dr. Dong brings the philosophical concept of open and participatory management to MiraCosta, Dr. Edwin Coate, Vice President for Business and Administration, bears the responsibility of operationalizing the concept in the day-to-day life of the college. Ed, as he is more commonly known, stated that when he arrived in 1995 there was no master plan and no strategic planning process. He described the way the former Vice President of Finance and the College President conducted the budget process: “They got the budget out and told people what everybody’s share was.” When Ed came to MiraCosta, he recognized immediately that President Dong expected something different. Ed stated,

When Tim hired me, he said he wanted an open process, and that’s the way I’ve always done it. . . . I think that is the only way to run a ship. . . . You have got to let everybody know everything about the money and they don’t think there’s this big secret pot of money that you’ve got. There’s a limited amount of resources, and they’re entitled to their fair share, so going through a process makes sense. So we started the strategic planning process and the master planning process. And program review really got developed into the master planning process.

Ed’s previous experiences in governmental agencies and higher education prepared him for the planning and budgeting challenges at MiraCosta. At the U. S. Environmental Protection Agency, he developed a comfort level for strong strategic planning and managing by objectives. At Oregon State University, where he was Vice President for Finance, he started right out with a master planning process and a strategic planning process. While an old master plan and an old strategic plan existed, they “didn’t make a lot of sense to him and the budget process was secretive.” At the University of

California, Santa Cruz, as Vice Chancellor of Business and Administrative Services, he developed a planning model that he has subsequently used with other institutions, each one with its own unique twist.

When asked how he came to have this philosophy of leadership, he replied,

I think there are two answers to it. Some of it is reactionary to the military training I got, because I thought it was too hierarchical. The other part of it was I was deeply involved in total quality management at Oregon State and did a lot of direct work with Dr. Deming. And he really believed that teams are the right way to go. And my vision of the days of John Wayne leadership are over. I mean it is too complicated . . . so my job is to be a mentor-leader as opposed to a dictator-leader.

Ed Coate's work with Deming and Oregon State University (OSU) is referred to by Daniel Seymour in his book *On Q: Causing Quality in Higher Education*. Ed Coate, while serving as Vice President for Finance at OSU, said,

Perhaps the most significant finding was that people became enthusiastic once they began to see most of their ideas for improvement being implemented. They had spent years working in a system that was broken. They always had a pretty good idea of how to fix it. Now they were being asked to speak out—and *someone was listening* [italics added]. (Seymour, 1992, p. 18)

The "quality" movement influenced by the work of W. Edward Deming (1986), Joseph Juran (1988, 1989), and Phillip Crosby (1979), represents a paradigm shift that encompasses a cultural, attitudinal, and operational transformation of an organization. It requires the rethinking and redesigning of organizational processes for continuous improvement. It expects a strong relationship between the mission and strategies of the organization and how the organization measures its performance. This is strategic alignment. The expected result is always an increase in quality and a decrease in cost.

In the implementation of total quality, employees contribute to operational improvement and results. Tuttle (1994) stated,

Inherent in the philosophy of total quality is that its scope is total in the sense of organizational performance. . . . As a strategic management philosophy, total quality should have a positive impact on the strategic performance dimensions that are critical for organizational success. Each organization must define its own specific set of performance dimensions as part of its strategic planning process. (p. 24)

Quality management principles and quality tools can provide higher education with a framework for collaborative planning and decision making that involves students, faculty, staff, administrators, and the surrounding community. It requires a firm presidential commitment, a champion of considerable authority or influence, someone who will oversee the process from inception to implementation, and a planning team that is devoted to self-study and continuous process improvement.

When talking of the Rio Salado Community College experience with total quality management (TQM), Thor (1994) stated,

There is no question that the implementation of TQM continues to require a significant investment of time and human resources on the part of our college, but we find that the improvement in our college culture and in our ability to produce high-quality educational services is significant. . . . We see the human return through increased awareness, expanded empowerment, and broadened horizons. (pp. 61-65)

Tuttle (1994) summarized,

Total quality is a philosophy, a business strategy, a culture change, and a management process. To determine whether such a comprehensive effort is working, it is necessary to make such a judgment from the perspective of the total organization, not just of specific process improvements. . . . What is needed are innovative ways of using the resources that we already have in ways that allow us to do a better job. This will require new management paradigms, new ways of organizing the work of the campus and its functioning. Total quality provides a framework within which we can develop these new ways of working and living together. (pp. 26, 28)

In summary, Ed has used his previous experiences with total quality as a strategic management process to accomplish the business of MiraCosta more effectively. He argued that no quality process can be successful without the participatory efforts of its employees.

Vice President of Instruction

Another member of the leadership team at MiraCosta College is the Vice President of Instruction, who has served over 28 years at the college. She first joined the college as an English faculty member, then became involved with the campus Academic Senate, eventually serving as its president. Her leadership skills and willingness led to service at the statewide level as a senate officer with links to other faculty and schools across the state. She is one of three founding members who authored and developed the idea of the English Council at the California community colleges. This Council has made significant contributions to the English discipline.

During her 15 years as Vice President of Instruction, she has participated in many innovative programs. The one most relevant to this study is the program review process that she initiated in the fall of 1981. She remembered a cartoon of lemmings jumping off a precipice that she shared with faculty to begin the process. The cartoon was a way of capturing the idea that program review was new and nobody really understood where it would lead. It was a leap of faith. But she told the faculty that the process “promises to help us explain our financial decisions and validate our goals and it will go a long way toward telling us if all we do is all we should be doing or if the tree of knowledge needs to be pruned to promote new kinds of growth.” She recognized that asking these kinds of questions increased anxiety levels. Yet she was ready to start the process, and MiraCosta became one of the first community colleges in the state of California to implement some form of voluntary program review. The Vice President of Instruction realized the process requires the trust of committed, skilled staff who have ready access to sound information and who know that the institution of MiraCosta is more important than any single person.

Her history at the college, her long-term commitment to the college, and her involvement with program review provide key insights into the integrated planning process. It is important to think about the role of senior faculty and staff in learning organizations. The Vice President of Instruction described her college:

We are just in this kind of evolutionary way—things change in a college, and we're pulling the threads together. . . . You have to stay with this. You can't come in and out. I think that's why other schools aren't where we are because we've had such good stability in our faculty and our administrative staff over time.

And she is a prime example of this, given her 28-year history at MiraCosta College.

Vice President for Student Services

The Vice President for Student Services has been with the college and in his position for 11½ years. He oversees 16 programs within the Student Services division and facilitates at least five program reviews each year. He has been a strong proponent of program review and uses the data gathered during the process for his budget request. With data from internal and external sources, departments can decide if they have serious budgetary needs or if they need to work smarter.

As is the apparent custom for MiraCosta College leadership, Student Services program review was among the first in California community colleges. He stated,

I started program review at MiraCosta College for Student Services. I thought that because Instruction was doing program review, it only made sense that we should do it. Interestingly enough, the California Education Code requires that Instruction does program review, but doesn't say anything about fiscal services, maintenance, student services, or any of the other support programs. I think that is unfortunate. I think student services are every bit as important to campus as the instruction process, even though we are a support system to it. I am very pleased that we do program review.

This Vice President's role in the program review process is to translate the Student Services program review outcomes into division needs and priorities; then he makes the case for them at the Planning and Budget Council. Even though program

review provides pieces of information that are valuable, it does not automatically guarantee that budget will follow.

He argued that program review outcomes are just one piece of information and that programs need to gather additional data from other sources, institutions, and state guidelines. He stated, “I do not think we ought to use it as a weapon to beat the Planning and Budget Council over the head.” He believed that program review is a piece of the budget process, but it does not “drive” the process.

Academic Senate President

As previously noted, the Academic Senate was established in 1963 because the college faculty and administration wanted to keep faculty actively participating in the governance of the college. The Academic Senate President during data collection has been at the college for 8 years. She leads the faculty as they oversee academic and professional responsibilities as mandated by California’s 1988 community college reform bill, AB 1725. As she described some of her committee assignments, she stated that “the Academic Senate President has always been on the Planning and Budget Council, and the Academic Senate President is also chair of the Academic Master Plan Committee.” When describing long-term goals for faculty use of planning and program review, another faculty member stated, “We want more people to go to the academic master plan and say, ‘What does it say in there?’ We would like that to be a central force for helping us make decisions.” While attending an Academic Senate meeting during the data collection phase of this research, I observed the College President and other administrators of MiraCosta College in attendance as members. The Academic Senate is experiencing a cultural change as new faculty participate and assume leadership roles.

They are redefining shared governance and the balance of power between the college's organizational constituents—which is not an easy process.

The Vice President of Instruction remembered, “We’ve always had a strong Senate here built on administrators and faculty working together and sharing information and coming to consensus. . . . When I came here, the Senate talked about dogs on campus and parking.” Over the past 15 years, the Senate has changed its focus to more educational matters regarding student success. Now they talk about general education; “they talk about real issues for the most part.” In addition, because faculty have chosen not to have union representation, they also talk about working conditions and other related issues.

Some of the “real issues” the Vice President of Instruction referred to are the Academic Master Plan, the Academic Policy and Procedures Committee, the college's curriculum committee, and the Planning and Budget Council (PBC), all of which require significant faculty representation and participation. For example, the PBC meets for 3 hours every 2 weeks.

Classified Employees Council President

Another leader who represents staff in the decision-making processes is the President of the Classified Employees Council (CEC). The council is modeled on the Academic Senate—with elected members. She has been at MiraCosta for 12 years and is currently the secretary for the Creative Arts department, which includes art, dance, music, and theatre. The Classified Council President gives her constituents a voice by representing their points of view—particularly in the area of staffing—and recommendations on the Planning and Budget Council, where she interacts with other

college stakeholders. She also serves on the President's Cabinet—another representative body where extensive discussions, negotiations, and recommendations are formulated and forwarded to President Dong for final approval.

After program review data and preliminary documents are completed in the discipline or student service departments, classified staff are responsible for putting the data in final form for submission to appropriate committees. When describing her immediate role with program review, she stated, "I've been involved in the typing and receiving of information from departments to get it into presentation format." Also, she has had questions assigned to her for which she conducted research and developed written responses. Classified staff have been responsible for several of the technical revisions of forms used in the program review process.

Dean of Research and Planning

Currently, the Dean of Research and Planning has been with MiraCosta College for 8 years. She reports directly to the President and works closely with the Vice Presidents of Instruction and Student Services, as well as discipline faculty. She provides data for the planning needs of the total campus through the Office of Institutional Research. Her role on campus is critical to the vision Dr. Dong has for MiraCosta, because the data that she generates and analyzes is the basis for cogent decision making for individual programs as well as campus-wide planning efforts. She enables the college to measure its progress towards its institutional goals and objectives as well as student learning outcomes. In order to communicate directly with the leadership team, she provides reports directly to the President's Cabinet and serves as staff and a resource to the Planning and Budget Council. In addition to the college's

research agenda, the Dean of Research and Planning provides assistance for ad hoc requests such as grant writing and surveys.

During the last 2-3 years, there have been modifications to the expectations of the Office of Institutional Research. The instructional program reviews have become more streamlined and focused on the core quantitative data and student learning outcomes. The Dean of Research and Planning stated, “It is more like an open book approach in business where everyone understands, sees the numbers, understands how they are arrived at, and has access to them.” By access, the Dean is alluding to the extensive web site that she has created for the Office of Institutional Research. Faculty, staff, and administration are able to retrieve data such as successful class retention.

Summary of Leadership

The leadership at MiraCosta College might best be described as collaborative and stable. Each leader brought experiences in innovation and change, and exhibited in their past and present positions behaviors that exemplify willingness to challenge institutional culture. President Dong’s open book management theory gave the Planning and Budgeting Council greater participation and advisory powers, Vice President Ed Coate implemented an inclusive planning process that drives decision-making and resource allocation, the Vice President of Instruction implemented program review amid fears of the unknown and heightened anxiety levels, and the Vice President of Student Services pioneered program review to non-academic student services units. The leaders shared a vision for collaborative decision making and they were willing to enrich the culture of the college through change.

Institutional Culture: Cooperative Teaming to Produce Established Ends

Dr. Dong showed insight when he stated, “It is fortunate that up to this point there’s a good match between what I want to do and what the culture will allow.” With this statement, the President of MiraCosta makes it clear that he understands the critical role of institutional culture in the change process. What is culture? Seymour (1992) defined culture as “a social or normative glue that enables an organization to solve problems. . . . Every organization has a culture—‘how we do things around here’—and because culture is context-bound, every organization’s culture is different” (p. 144).

Schein (2004) stated that

culture can now be defined as (a) a pattern of shared basic assumptions (b) invented, discovered, or developed by a given group (c) as it learns to cope with its problems of external adaptation and internal integration, (d) that has worked well enough to be considered valid and, therefore (e) is taught to new members as the (f) correct way to perceive, think, and feel in relation to those problems. (p. 17)

Historically, MiraCosta has adapted to a number of external pressures—war, increasing student enrollment, reorganization of educational districts, and changing financial support structures. Through this, they defined their assumptions and patterns of behavior, which include cooperation, collaboration, student success, and doing the right thing.

Chaffee and Jacobson (1997) stated that

the learning organization that continuously improves to meet the needs of a fast-paced, changing environment requires a culture that supports shared vision, a willingness to understand the organization and its environment, and trust. (p. 240)

Each of these ideas can be found in the MiraCosta data. For instance, the idea of shared vision was discussed under leadership. A willingness to understand the organization is indicated by the stability of faculty and staff, and trust is probably

epitomized most by the early implementation of participative governance. Currently, four themes or cultural features define the college. They emerged from the data describing some of the ways things are done at MiraCosta: shared governance, information-rich environment, accountability, and flexibility. Each of these is described in the following sections.

Shared Governance—Cooperative Teaming

When asked who is responsible for the success of the integration process, the Vice President of Student Services said, “I think all of us!” and the Vice President of Instruction said, “Everybody, everybody is responsible for the success. The way it works, it’s built on trust.” This idea of shared governance appears to be connected to two major influences. First, the college is relatively small (6,000 students, 114 full-time faculty, and 258 adjunct faculty), which enables people to know others. Most have been at MiraCosta for a long time, and whether faculty members or classified staff, they’re very much stakeholders. Chaffee and Jacobsen (1997) suggested that

groups that share a common history and have been relatively stable over a period of time tend to have “strong” cultures, in that the underlying assumptions, values, and reinforcing artifacts are widely shared by most participants. (p. 235)

From the inception of the college, the faculty and staff at MiraCosta have learned to value and participate in shared governance. They have had a rather stable faculty and staff who have learned to trust each other and work together for the common good. As the Vice President of Instruction stated,

There’s no adversarial thing going on. There are no unions in the college and folks are satisfied. . . . This is the way things have been done here forever as far as I know; it has worked for us and continues to work most of the time.

“The way things have been done here forever” seems to describe a “strong culture” that supports a shared vision, has a willingness to understand the organization and environment, and enjoys a high level of trust (Chaffee & Jacobson, 1997). These characteristics appear to impact continuous improvement and encourage new members of the college community to join in the process. President Dong agreed that “shared governance or a collaborative model was more real at MiraCosta than anywhere else” and that he “didn’t start it, it was already at MiraCosta when he arrived.” He continued by saying,

So what I think I brought to the table is to really add the classified employees to the mix. Usually when we talk about shared governance, it’s the administration and faculty, but I think classified folks need to be involved because they’re embedded in the college community.

The idea of shared governance is that structures or processes are formalized so that people have a place to share ideas and concerns. At MiraCosta this seems to be the case. Even students feel heard! One student said, “Having student representatives on major committees and councils makes MiraCosta very student-friendly and student-oriented. There is an open door policy where students feel heard.”

The second influence on collaboration is related to AB 1725, which requires each of the California community colleges to negotiate and approve a shared governance policy. This 1988 legislative mandate requires greater participation of faculty in many decision-making processes. Many colleges have extended their policy and/or practice to include classified staff and students. As a result, every committee has at least one or two faculty members, a classified representative, and an administrator on it. The Vice President of Instruction, believed that MiraCosta was the first school in the state to complete all the AB 1725 requirements because it built on this foundation that they had

already developed. Some scholars have suggested that this ability to adapt to changing legal requirements is an indication of the strength of MiraCosta College. Specifically, Seymour (1992) described “strong cultures” by saying they are

not only able to respond to an environment, but they are able to adapt to diverse and changing circumstances. When times get tough, they can reach deeply into their shared values and beliefs for the truth and courage to see them through. When new challenges arise, they can adjust. (p. 144)

The core values of collaborative/cooperative teaming and shared governance have been a part of MiraCosta for some time. According to the Vice President of Instruction, it has helped them historically through many changing situations.

Information-Rich Data Environment

The Institutional Research Office is responsible for providing quantitative data on programs and classes. This includes retention, grade distribution, costs, student contact hours per FTE’s, number of students in programs, and full-time equivalent faculty. This information is available on the web and everybody at the institution can just “point and click” to get it. But the Dean of Research and Planning is not satisfied: “I’d love to have a hundred times more stuff up there, so I feel like we’re really just getting started.”

At the time of my visit, the college was planning to implement PeopleSoft, a windows-based format that would allow faculty to run reports that institutional research would have had to conduct in the past. Then people will have even more access to the institutional information.

President Dong shared the way people appreciate the Dean of Research and Planning and how she enjoys a great reputation throughout the campus of someone who is very straightforward, who is going to provide good data, who will tell you that what you want is not what you want because it will not answer your question—here is what

you want, here is what you need. When asked about the information-rich environment that the college has, the Dean of Research and Planning stated,

I can actually find the root source of this idea for an open-book business. Tim Dong, when he first started here, had everybody on the Planning and Budget Council read this article "The Open Book Revolution." . . . That was 4 years ago and I've seen a lot of improvement since then.

The purpose of having data readily available is so that decisions can be made based on the data. The Dean of Research and Planning stated,

It certainly can't hurt to know by discipline what those grade distributions look like. Is there a retention problem? And if there is, why is that? . . . For example, our open-entry, open-exit classes, if you looked at the grade distribution, these people are really withdrawing at a higher rate.

Data are used not only by academic programs; other campus entities such as School Relations use data to make decisions and evaluate their effectiveness. The Vice President of Student Services shared ways data are used by Student Services:

In 1988 we had 2.1% of African American students in a district that has a 4.8% African American adult population. Right now our African American student percentage is 5.7%. Our district adult population is 4.9%. We're doing something right by targeting groups of people in our district who we had not served the way we thought we should serve them.

And when the Latino student groups started to advocate for services and more staff representation, data were used to discuss their concerns. The Vice President of Student Services declared, "In 1987, we had 13% Latino students in our student body. We now have 19% Latino students in our student body." He worked to address their needs by hiring a diverse staff. When he arrived, there were two Latino staff members, and now there are 30. He continued, "When you do those kinds of things, when you can put that kind of data in front of people, you diffuse angry people very quickly."

But the Vice President of Student Services pointed out that all decisions are not made with the use of data. He feels that there will always be other factors that drive the way decisions are made. He believes that “sometimes we make decisions because it’s the right thing to do, not because we’ve got a whole armload of data to support it.” The college does things because they are the right thing to do. That is one of the many characteristics of the college that he appreciates, and it is what keeps him there.

The Vice President of Student Services described a situation where a student in a wheelchair expressed concern about potentially not being treated exactly like other students at graduation. Because there was only one ramp leading to the stage, he would have to go up and down the same side rather than being able to go across the stage and down the opposite side as his classmates. On this matter, there were no data, only an anecdotal report from the disabled student who said, “I will be humiliated and embarrassed if I have to graduate a different way than my colleagues.” After this issue was presented to the Planning and Budgeting Council, they authorized a new ramp to be used for graduation. It was “humanly driven not data driven.”

Accountability

Everyone at MiraCosta knows that the increasing availability of data coincides with a greater expectation for accountability. The Vice President of Student Services said, “I think our President brings to us a demand for accountability and I support it.” The Office of Institutional Research has worked to refine formulae so that information is explicit and accurate. For example, in the past no one really knew how Full-Time Equivalent Students (FTES) were calculated. The President of Faculty Senate described the former process:

Data used to come out of the Office of Instruction. The secretary calculated it and no one could figure out which of the data assumptions she was using . . . so we worked with Research and Planning and the curriculum committee about what the data assumptions should be, and now they're going back through and [recalculating] data for all the programs.

The Vice President of Student Services stated,

Now everyone is expected to be more accountable, not always to prove that what we do is worthwhile, but in the best sense—to report to the Board, to other people on campus, to our constituents, and to the community that what we do makes a difference.

While it is clear that accountability is an important part of MiraCosta's institutional culture, at the time of the interviews, the President believed that an accountability system was just emerging and that some people still had a hard time with readily available data. He stated, "I don't have a hard time telling our trustees where we are—for example, we're doing awful in certificates and degrees compared to other community colleges, but we're doing really well in transfers." Ultimately, for the President the "solution is simple. All we need to find out is what our students' needs are—why they are here—and then we change the institution to better respond to those needs."

Flexibility

Indications that people and systems are flexible at MiraCosta were observed often during my visits at the college. In the data, this aspect was identified as a theme primarily because of the willingness with which people changed and adapted on a day-to-day basis. A member of the classified focus group, gave an example of this flexibility as she described the regular revisions to the program review process documents by the Academic Policy and Procedures Committee. These changes are responses to questions asked about programs: How can we improve? and How can we be better at [doing] our jobs?

Vice President for Business and Administration Ed Coate characterized this attitude when he said, “There’s nothing that we are doing right now that I would change unless somebody came up with a [good] new idea, in which case we’d incorporate it.” The Vice President of Instruction said, “We hunger for an Academic Master Plan that’s a living document,” suggesting that reviewing and changing the plan as needed is desirable.

A classified staff focus group member said, “A group went to Alverno College during the summer and came back with all these ideas, sent out these memos, and so now we’re changing the program review again.” Another classified staff member stated, “We came up with a whole new statement of purpose and procedures and they’re ready to send out.”

This kind of flexibility is often not found in higher education. One must ask, What kinds of organizational structures exist? How are decisions made? How does the organization manage to facilitate change and innovation?

The Integrated Process

Program review, strategic planning, and budgeting are the core components of the integrated planning process at MiraCosta College. Each process is discussed below, and a more in-depth discussion of the ways Mira Costa College is attempting to integrate them follows.

Program Review

MiraCosta College’s program review process has been in place since 1984, and they believe that this process has “improved performance, effectiveness, and efficiency” (MiraCosta College, 2003, p. 2). The current process was changed in 1997 to embed accountability and assessment of student learning outcomes in the institutional fabric and

to change the process from a 3-year cycle to a three-part process (an annual data review, a 3-year recertification, and a 6-year comprehensive report).

Program Review is used by faculty and administrators to gather information for initiating, expanding, reducing, consolidating, and terminating programs. The process is intended to build upon what we have learned in our previous cycles. It is intended to afford free exchange of information in a positive collegial atmosphere, allowing each discipline to evaluate its own areas of strength and weakness in order that the college can set priorities to meet the needs of students both now and in the future. (p. 2)

This process allows for comprehensive program reviews over a 6-year period of time with a yearly review of the data and curriculum revisions, if needed. It also provides two opportunities for departments to document evidence of program and student performance between accreditation self-studies. The Office of Instruction and the Academic Senate provide assistance for faculty engaged in the program review process and assistance for designing program assessment activities.

The college has identified six specific goals for the program review process: (a) to provide data and program assessment for the continued development of the Academic Master Plan, (b) to acquire quantitative and qualitative data for each discipline to determine if they are “fulfilling the vision, mission, and strategic goals of the college,” (c) to recommend utilization of college resources, including prioritization of new faculty and staff positions, (d) to ensure instructional quality, (e) to address external accountability indicators for state and accrediting entities, and (f) to improve institutional effectiveness (MiraCosta College, 2003).

The annual review of data consists of the discipline faculty accessing, analyzing, and commenting on 6 years of quantitative information regarding full-time equivalent students and the accompanying costs, rates of successful retention, and enrollments.

These data are available on the Office of Institutional Research internal web site. The data and comments are submitted to the department chair and then to the Dean and Vice President of Instruction.

The 3-year recertification cycle includes the annual data review, discipline specialist and departmental faculty review of curriculum, appropriate library collections to support the curriculum, and response to comments and recommendations from the Academic Policy and Procedures (AP&P) committee during the last 6-year review. The recertification requests are submitted with supporting signatures of the department chair, Dean to the Office of Instruction, and the AP&P committee.

The third and most comprehensive part of the program review process is the 6-year program review. This is a 10-step course of action that provides (a) a complete annual review which discusses in detail student data trends for the last 6 years, (b) a curriculum reassessment, (c) a summary of program activity, (d) a review of class size requirements with amendments if needed, (e) departmental and individual faculty goals and professional achievements, (f) a discipline-related external scan, (g) a review of discipline research and trends, (h) an evaluation of the library collection for currency, (i) a full response to previous AP&P comments and recommendations, if appropriate, and (j) an analysis of possible alternative delivery methods to expand departmental services to students. Again, the reports are submitted to the Office of Instruction for distribution to the AP&P committee (MiraCosta College, 2003).

The process also provides opportunities for departmental requests to have an “off-cycle program review.” This type of review may be generated due to “sustained changes in enrollment patterns or retention rates, changes in workplace demands, changes in

college resources required to support the program, etc.” (MiraCosta College, 2003, p. 14). If the AP&P committee supports the request, they provide guidance concerning the items to be reviewed. One of the goals of the college is to provide quality educational programs.

Just as new programs are developed and integrated into the college offerings, programs that are no longer viable must be eliminated. Therefore, the program elimination process and procedures serve as a tool which keeps the college program contemporary, dynamic, and pragmatic. (MiraCosta College, 2003, p. 15)

Courses or programs are considered for elimination if there is (a) low enrollment for four or more semesters, (b) low retention persistence/completion rates, (c) lack of work place demand, and/or (d) lack of resources to support the program.

When the AP&P committee initiates the program elimination or discontinuance process, faculty are notified and are asked to submit a Plan of Improvement by May of the current school year. The committee reads the plan and responds to the department in an open, formal meeting. The committee, in consultation with the Office of Instruction, then decides to do one of two things. First, they may initiate the Plan of Improvement for 2 years and then reevaluate; or second, they may continue the elimination process.

Program review had been going on at MiraCosta College for some time before strategic planning or the integrated process. As noted earlier, the Vice President of Instruction initiated the program review process soon after she took office. While it may be difficult to understand why this college would start a program review process on its own initiative, it demonstrates the college’s long-term commitment to meeting student needs. And with such a commitment as a core value of the institution, it seems inevitable that someone would eventually ask about the kind of learning taking place in programs. The Vice President of Instruction was the person to raise those questions. In commenting

on the first program review, she stated, “When you look at it in relation to the much more significant work being done now—much more meaningful work—then you can see why I started with the cartoon of the lemmings.” Leaping into the unknown like lemmings meant that processes needed to be developed, skills needed to be learned, and rationale needed to be discussed. Learning new organizational behaviors requires commitment amidst the struggles.

There is an institutional memory of program reviews and efforts to improve the process. When asked about their experience with program review, one classified staff member said, “Program review has been changed every year since day one.” Program review has improved with each iteration because faculty and administrators listen to what is not working. The process has gone from a very simple one-page analysis to a very complex department-wide analysis to the one they have now, which is basically a handful of questions and an assessment expectation for each discipline. Since every discipline can benefit from assessment, no discipline escapes the process.

From the Dean of Research and Planning’s perspective, “program review means that you gather information, descriptive information, process information, and outcomes information about a program at the college.” The Academic Senate President identified some of the struggles when she said,

I think the first time that I did program review my chair handed me some papers and said, “Here is your part.” . . . I had no idea how to get the information I needed. The next time we did it, it was a different chair and the chair put it all together; I am not sure where they got the data.

Another faculty member added,

I have been through three program reviews; the very first program review the chair wrote the whole thing. Next cycle, I was handed something and was told, “Read this”

and my colleague and I looked at it and said, “We did not have any input, what are we signing?” So we made sure it did not happen that way the next time.

For the faculty and classified staff, it means a lot of extra work gathering data, typing, and organizing. For the institutional researcher it means “getting the actual data for the instructional departments and we have done that for quite a few years. . . . It was basically that they said, ‘Here is the data that we want,’ and then it was provided.” For the Vice President for Business and Administration, it means a review of the academic programs that look at the students’ needs for the program, the delivery techniques, the cost, and the student response to it. When asked why he singled out academic programs, Vice President Ed Coate said,

When we think of program review we tend to think of the academic programs. It does not mean we do not have program review in the business part of student services, but the formal structure called program review is the academic one.

Students have limited exposure to the program review process. Most of their contact is through classroom evaluations and their participation in student government activities or their assignments to councils or committees. From the students’ perspective, program review would be an evaluation of the different programs and the different organizations or groups on campus, from administration to student government, in the different functions that occur. A student added,

I know that when we do program review we look at something that we have put into effect. Then come back to it and readdress it and see if it is going [in] the right direction or if there is some adjustment that needs to be made.

One student, serving as interim Vice President, was a representative on the Planning and Budget Committee and relayed an experience of student services program review recommendations being approved and implemented.

So why does MiraCosta College engage in program review? The Vice President for Student Services believes it is about accountability—“making sure we are doing what we say we are doing.” So what are the consequences of program review? The Vice President of Instruction stated,

Well, the most savage, of course, would be associated with the program discontinuance. . . . There are fiscal consequences and in good times you can just keep adding and ignore those programs that are in decline . . . but in bad times you really do have to prune so that you can get new growth. And that is really difficult with tenured faculty.

The Vice President of Instruction refers to the discontinuance of instructional or student services programs that occur due to program obsolescence, fiscal exigencies, or reprioritization during academic planning. The outcome of discontinuance might be faculty and staff reassignment or termination.

Classified staff see the process as one of responding to the recommendations of the previous program review and making new recommendations and commendations. The Academic Senate President gave an example of the kind of planning change that can result from program review:

The nursing program, which used to be only a nursing program, has expanded into an allied health program as a result of program review. So they added a physical therapy aide program, home health care, and certified nurse's assistant. And all of those make the nursing program more cost effective.

One classified staff member summed it up best when she said,

In the case of program review, people on the committee, even though they change periodically, have been really interested in getting down to the nitty gritty in finding out how can we improve. And that's what they are looking for in program review.

The College President, Dr. Dong, initiated one of the most interesting uses of the program review outcomes. He takes the results of the program review process to the Board of Trustees in a summary format, reporting on the health of the programs.

Eventually he wants to take the entire package of documents, “with all the warts presented to the world,” and believes that this will encourage departments to care and do something about the work.

This comprehensive program review process has been implemented and institutionalized by the open, collaborative culture of the institution, which provides a trusting environment. The program review process establishes documented evidence of measuring institutional effectiveness of instructional programs and student learning. It also assesses how instructional resources (human, physical, and fiscal) and student services are utilized in producing the student outcomes. And last but not least, it requires the college to view the organization in light of continuous improvement by forwarding recommendations to the Planning and Budget Committee to be approved, prioritized, and funded.

Master (Strategic) Planning

Master planning is a process by which institutions envision themselves in the light of experience, current circumstances, and goals. The plan contains both qualitative and quantitative information, and its proposals are based upon both current statistical data and political, social, and educational objectives. A master plan should identify and achieve its goals for the future. (MiraCosta College, 1997d, p. 9)

The college’s Master Plan (MiraCosta College, 1997d) is the umbrella document for three area plans: the Academic Master Plan, the Technology Master Plan, and the Facilities Master Plan. All three plans are designed to be reviewed annually in order to incorporate new data, changing circumstances, and new objectives, thus creating a “living document” for continuous improvement.

Thus the Master Plan is a snapshot in time as the college identifies its future. It states that “the academic needs as identified in the Academic Master Plan (1997) should

drive the District budget and facilities planning” and that “decision makers at all levels of the planning process will use this document to implement detailed plans for present and future growth and change” (MiraCosta College, 1997a, pp. 10, 14).

As noted earlier, Vice President Ed Coate introduced strategic planning at MiraCosta. He stated,

When I first got here, we had no master plan, and no strategic planning process and a budget process that was done by the former Vice President of Finance and the President, they got the budget out and told people what everybody’s share was.

Deliberately, he continued describing planning processes in general:

Mission statements in academia are not worth the paper they are written on. Everybody has to be sure that it says something to justify their program so, consequently, it does not do anything. So we do a mission statement at the beginning of the process because that’s just good planning. But we are really trying to get a little more into it, and one way we are approaching it is to look at the Board’s “end statements.” What they are really interested in is transfer or course development, college level skills, critical thinking, information technology sophistication, access and service, collaboration and partnerships, and adapting to and fostering change. That’s what they are going to hold us accountable for. In addition, we have a vision of where we want to go operationally, certainly reflecting the mission, more clearly reflecting the end statements because it is much more specific.

On an annual basis the college has a planning process structure where the mission statement is revisited and the Board identifies end statements or expected college outcomes. The Vice President of Business and Administration, in collaboration with the Planning and Budget Council, drafts goals and objectives based on operational values. After goals have been determined, detailed action plans begin to emerge from operational groups and are accepted by the Planning and Budget Council and approved by the President. The last stage is the evaluation of the planning process and the strategic plan. At the end of the year stakeholders ask the following questions: Did it work? What did we accomplish? How much was accomplished? What do we need to rethink?

In planning there is a need to be flexible, taking in the ideas of every constituent group, yet also a need to be a “little rigid or they will talk you to death and you will never get through,” as recognized by Ed Coate, Vice President of Business and Administration. A balance of both flexibility and rigidity is important to move the planning process along.

Action planning is the method used by the college to implement goals and objectives in the institutional strategic plan. The action plans include the specific objective, operational strategies, accountable persons, required funding, and evaluation criteria. Because 85% of the budget is dedicated to faculty and staff salaries and benefits, the bulk of the money is not available for action plans. Thus, additional requests for monies to implement program improvements are funded from approximately \$500,000 set aside for new enhancements to the college. Dr. Coate, Vice President of Business and Administration, described that one way to get monies for enhancements is to include them in the action plans of the college. “When you have an action plan that requires \$50,000 and it gets approved because it supports the college goals, objectives, and mission, it is assured that it will get approved in the enhancement list.”

Budget

Budget development at MiraCosta College has been an evolutionary process. Historically, MiraCosta was termed a basic aid district where through local taxes they received over and above what the state would have apportioned to the college, so money was not as big an issue. The college was also serving 10-15% over their state-rated capacity because they had the funds to support and the desire to educate the additional students. During these years of plenty, the previous President and Business Manager prepared and then announced the budget to the staff. The Vice President for Instruction

remembers being a faculty member participating in the budget process utilized by previous administrations:

We used to call it the “buffet line system” of priorities. You know, you take a plate and the other plates pop up. Instructional Services would bring in roughly 200 requests. Business Services would have three or four, and Student Services five or six. We’d go around till the money ran out. And at that time I argued that maybe my 100th priority was more important than Student Services’ 6th, so it was that impetus that got me studying how to prioritize around instructional goals.

The years 1990-1997 proved to be more difficult when the real estate values temporarily crumbled and the local funding was drastically reduced, yet the expenses of the college continued. This resulted in the “perception” of a financial crisis among faculty and staff. Faculty focus group members remembered that “for a while, our budget was very odd, and we had big budget crises. Then people started wanting to know what was in the budget. And why did we cut this rather than that?”

Prior to President Dong’s arrival, a Planning and Budget Council was formed, but it still did not make substantive budgetary decisions. Responsible for only \$2000-3000 of the budget, they made minor decisions like whether to get new signs on campus. The President and the Vice President of Business Services basically decided on everything else and nobody else had to know anything about the budget.

When Dr. Dong arrived in 1994, he recognized that the “budget has always been one of these explosive things that explode here and explode there.” He wanted to open it up and so facilitated a process to increase “the group’s understanding, where everybody could ask questions,” and he thinks this addressed a number of issues. He stated, “It was a process of building trust.”

“Beginning in 1995 it became apparent that more drastic methods of resource management would be necessary in order to bring operating expenditures in line with

revenues and intensive restructuring of the district's human resources began to take shape" (MiraCosta College, 1997c, p. 13). For the first time in the history of the college, two faculty and several classified employees were laid off due to budget and program restructuring.

During the faculty focus group, one faculty member stated that now they have to learn a lot about the budget and talk about the budget. "It's been a really good experience, but there are basically only a handful of faculty involved, and it should be broader because we make great efforts to educate the Board about it."

Integration of Program Review, Planning, and Budget

Successful integration of program review outcomes into planning and budgeting requires effective processes in each of the three areas. It also requires a major commitment by faculty and staff as well as a strong individual leading and supporting the use of program review outcomes in decision making (Brandt, 1998; Braswell & May, 2000; Briggs et al., 2003).

At MiraCosta is heard, through the voices of its constituents, the description of a continuously improved program review process that produces data that lead to program improvement, program expansion, or program termination. There is a planning process that is highly organized and has participation by all constituent groups in the Planning and Budget Council. This council sets priorities and actions based upon the college's mission, vision, and goals. And last but not least is the communication of institutional data for planning and budgeting that opens the books of the college so that all who are interested are aware of the opportunities and challenges in their environment. Opening

the books of the college includes budget (income and expenses), program data related to student demographics, student outcomes, and program productivity.

Visual Representation

While conducting interviews and focus groups, each participant, administrator, faculty, staff, and student was asked to draw a visual representation (picture, diagram, or flow chart) showing how the integrated process worked. The drawings were analyzed to determine if the interviewees could identify (a) the elements of the process, (b) their relationship to one another in the process, and (c) an understanding of the process.

What was most fascinating about these flow charts was that they were all different from one another. Most were circular in nature. Only the students portrayed the organization in a hierarchical top-down fashion. Each group understood the appropriate step that occurred before and after their designated entrance into the process. From the drawings it was determined that there are two similar processes—one for instruction program reviews and the other for student services program reviews. Although the visual representations varied, administrative, faculty, and staff interviewees concurred on the major elements of the process. Only one interviewee was not sure what happens to recommendations at the Planning and Budget Council level.

Both the Academic and Student Services departments complete program review. Figure 1 shows a diagram of the pathway for the instructional program review process. After the departments complete their self-studies, the documents travel two paths simultaneously. Duplicate copies of the documents go through the office of the Vice President of Instruction and the President of the Academic Senate. From the Senate office, the documents are forwarded to the Academic Policies and Procedures committee,

which handles curriculum issues. Recommendations from the AP&P committee go to the Academic Master Plan Committee, Academic Senate, and also back to the department. The Senate then forwards the recommendations to the Planning and Budget Council, which prioritizes recommendations and action plans and then funds priorities in order.

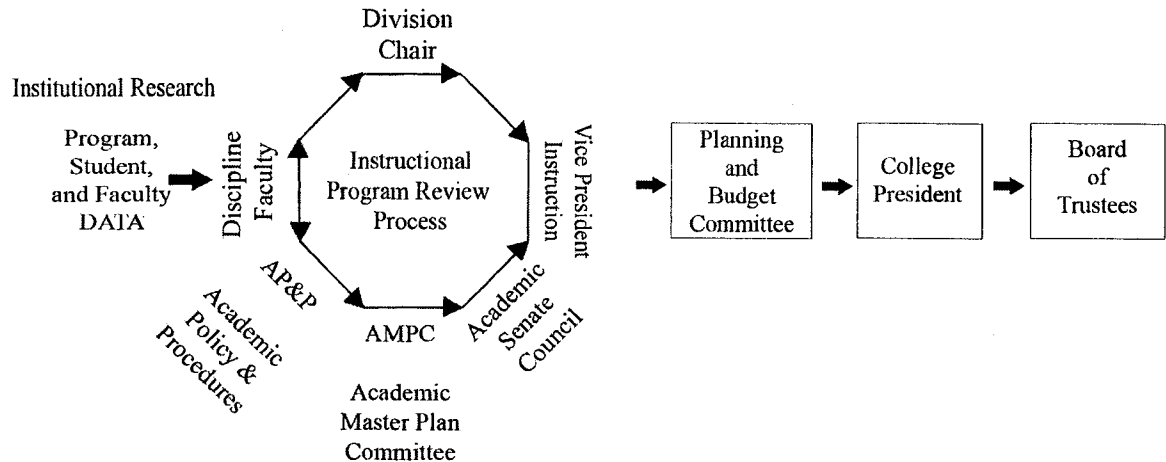


Figure 1. MiraCosta College's instructional integration process model for program review, planning, and budgeting.

Figure 2 shows a diagram of the pathway for the student services program review process. Student Services departments submit self-studies to the Student Services Council, which processes them during their staff retreat in the fall. The Council prioritizes the planning and budget needs using program review data, and then the division takes its recommendations to the Planning and Budget Council, where they are prioritized within the college's plans and budgets. The College President then recommends these plan and budgets to the Board of Trustees.

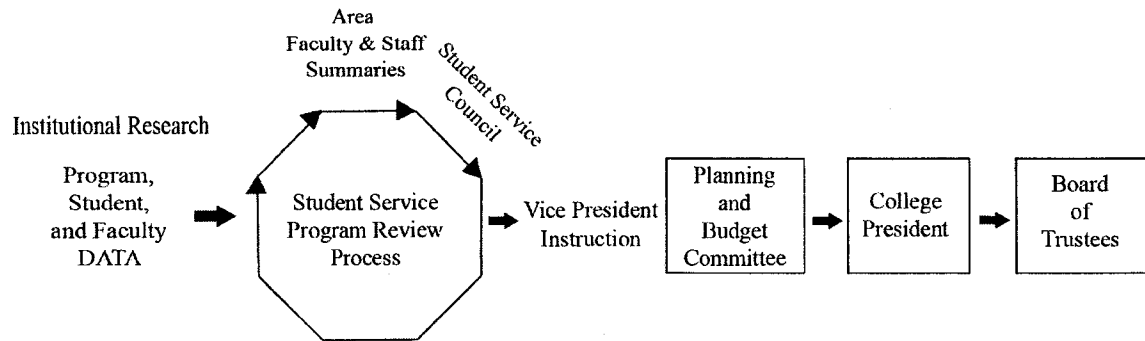


Figure 2. MiraCosta College's student services integration process model for program review, planning, and budgeting.

So how do the college's faculty and staff feel about the integrated process?

President Dong said,

I think that when I came here the cart was in front of the horse. We budget and then we plan and somehow . . . that doesn't get you planning. And then at some point, we got to where the horse and the cart were side by side. I think we're still there where they're side by side, and I want to move the planning ahead of the cart and then eventually to have planning to pull the cart. And we are getting there.

Program review is a process that provides a window that allows the college to see its programs and to gather data regarding the program's success and challenges. It is one of multiple measures that inform the planning process of needs, but it does not drive the planning and budget process. The Vice President of Student Services stated, "Program review gives you pieces of information that are valuable, but it does not automatically guarantee that budget will follow."

Summary

MiraCosta College has a tradition of stability, co-operation, and a shared vision for collaborative decision making. This provides a culture and foundation for the leadership team to successfully implement Case's (1995) open book management theory

and utilize total quality concepts in the administrative management processes of program review, strategic planning, and budgeting, resulting in an integrated process that supports institutional effectiveness.

The program review process is the result of evolutionary development. With each iteration of the review cycle, faculty and staff have evaluated the review documents and made suggestions that improve the efficiency and effectiveness of the process. The advisory Planning and Budget Council and the College President conduct the planning and budgeting functions. The strategic planning and budget processes are based on shared decision making and implement the concept of shared governance with the input of all groups of college constituents, thus broadening institutional communication. This input is developed from the information-rich data environment, which enables accountability and is deemed successful and trustworthy by faculty and staff.

When asked about the success of the integration of program review, the strategic plan, and budgeting, Vice President Coate replied,

It is not perfect. It is evolutionary. But I think it has been very successful. And how do I measure success? First of all, that we get a budget that everybody agrees with is fair. Second, that we accomplish something with it, that we actually see the things that we have had in our vision accomplished or in the goals and objectives that have been done.

The Classified Staff leader did not really realize how well the college's planning process worked until she became President of the Classified Employees and began to attend the meetings. She found "the program review feeds into the Academic Master Planning Committee, which is a subcommittee of Planning and Budget Council." Another faculty member stated, "I do not think it is an intentional mystery, as it has been in the past." She believes that knowing the institutional processes so that departmental

plans and goals they hope to achieve have a fair chance of actually being heard in the Planning and Budgeting Committee. The Vice President of Instruction emphasizes that you do not really need a sophisticated model of the process because “actually you trust each other so you do whatever needs to happen.”

When asked what recommendations they had for other institutions that were interested in developing an integrated process, their comments suggested the need for flexibility and a willingness to learn. Three recommendations were made: (a) be willing to adapt on a year-by-year basis because what works for one [year] may not work for another, (b) visit colleges where you think program review and the planning and budgeting processes are working pretty well, and (c) be as flexible as possible and take everybody’s ideas into consideration, yet stay on track. Dr. Dong stated, “My advice—gently push.”

Dr. Dong feels that at MiraCosta they are still trying to put it together. In closing, he said,

They are hoping to reach an end to program review, strategic planning, and budgeting. I have been trying to tell them there is no end. We are going to keep on modifying the process until we get it right . . . until we get it working.

CHAPTER 4

SANTA BARBARA CITY COLLEGE

The mission statement for Santa Barbara City College states that the college is responsive to the community, and is committed to learner-centered educational experiences and a continuous process of improvement, innovation and renewal. This commitment enables students to reach their highest potential while achieving their diverse educational goals. (Santa Barbara City College, 1999c, p. 5)

A mathematics professor at Santa Barbara City College said that “Santa Barbara is the house that Peter MacDougall built and the faculty is the heart and soul of that house. They make the house a home.”

Introduction

Although there is no official list that ranks California community colleges by institutional effectiveness, unofficially Santa Barbara City College is considered the leader in California and among the most effective 2-year community colleges in the United States. In the college’s 2002 Accreditation Evaluation Report, the accreditation team wrote, “Santa Barbara City College is clearly one of the exceptional colleges within the California Community College system. . . . It is the people and the programs of the college that makes it a quality institution” (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 1). Santa Barbara City College (SBCC) is located in a prime coastal community on the Pacific Ocean, “where the mountain meets the sea” (Santa Barbara City College, 1999b, p. 11). The

people strive to maintain its history as an old Spanish mission town, but the city is the intersection where education and culture meet. The college is picturesquely sandwiched between white sandy beaches and the foothills of the majestic Santa Ynez mountain range and “constitutes a unique atmosphere in which to live and study” (Santa Barbara City College, 1999b, p. 11).

Because of SBCC’s ability to reinvent itself to meet higher education requirements and community needs, it has been the subject of many research projects about community colleges and is a case study chapter in *Cultural Leadership, Inside America’s Community Colleges*, by George Baker and Associates (1992). SBCC has also participated in many award-winning projects, such as the Computerworld Smithsonian Awards. This historical institution, never satisfied with the status quo, continually seeks to improve itself. In order to accomplish this goal, SBCC has revised and integrated its educational and business practices—program review, planning, and budgeting. How this integration works and how effective it is will be considered in this chapter.

History: Institutional Priorities

In the tradition of K-14 schools, Santa Barbara Junior College, one of California’s and the nation’s oldest community colleges, was established by Santa Barbara High School District in 1909, but was discontinued shortly after World War I. “Its work was largely taken over by the Santa Barbara State Normal School, which later became the Santa Barbara State College, and still later the University of California at Santa Barbara” (Santa Barbara City College, 1999b, p. 11).

The high-school district reestablished the college in 1946, and the college continued an accelerated growth pattern in student enrollment and course development

including courses for life-long learning. Since 1958, Santa Barbara Junior College has offered an extensive continuing education program to its community. The college's 1999-2000 catalog states,

Continuing Education offerings provide opportunities for the self-realization of individual adults as wage earners and as social and creative beings. They contribute educational experiences for the lifelong growth of every citizen in order to make the community and the world a better and more peaceful place in which to live. (Santa Barbara City College, 1999b, p. 10)

Both state-supported and fee-based, broad-based community service courses are provided at over 100 sites in Santa Barbara and in the surrounding cities. The two major centers are the Wake Center, 10 miles away in Goleta, and the Alice Schott center in downtown Santa Barbara. These non-credit classes are designed to meet a variety of community needs and may include topics such as basic skills, parenting, environmental education, and current events. Over 40,000 area residents—approximately one-third of the service area adults—are enrolled annually in at least two of these classes.

In 1959, the college acquired its present 74-acre ocean-view campus from the University of California at Santa Barbara. With the change of locations came a change in the name to Santa Barbara City College. The summer of 1965 brought another major change in the history of the college when the Santa Barbara Junior College District became a separate governing authority under the control of its own popularly elected Board of Trustees. Six years later, on July 1, 1971, the name of the district was changed to Santa Barbara Community College District. Commitment and longevity are words that describe the service of the community-elected Board of Trustees. Of the seven members serving, three have been on the Board since the 1960s, thus providing stability as well as institutional memory and intent.

Dr. Peter MacDougall arrived to provide leadership to Santa Barbara City College in 1981 and understood the need to create an institutional climate for the college in order to influence and shape the culture. This comprehensive community college has long articulated a commitment to excellence and currency in postsecondary education (Nelson, 1992). Over the years the college has revisited its mission, guiding principles, and fundamental purpose. The current mission statement was reformulated in the spring of 1982, accepted by the governing board in 1983, and has remained the foundation and the core reference for college operations. Subsequent reviews have confirmed the mission and every 2 years, college objectives are reestablished to achieve the mission (Santa Barbara City College, 1999b). The mission statement also states,

The college demonstrates a commitment to educational excellence, scholarship, academic freedom, critical independent thinking and personal responsibility. It fosters collegiality and mutual regard and respect among students, faculty, staff and community members.

The institution provides open access to curriculum, instruction and support services to assist students in pursuit of their transfer, career preparation, employment, job advancement, retraining, and life-long learning goals. Educational excellence, service to students and responsiveness to our community are our core guiding values. (Santa Barbara City College, 1999c, p. 5)

There continues to be a consistent increase in the number and diversity of students enrolled and served at SBCC. Over 12,000 day and evening students are enrolled in this cove where the mountain, sand, and sea intersect to provide a rare atmosphere in which the pursuit of excellence in teaching and learning occurs. And whether spoken or observed, the vision of SBCC leadership, faculty, and staff is to be a model community college for the 21st century (Santa Barbara City College, 2002a).

The history of the SBCC “exemplifies a dynamic, responsive community college organizational culture” (Nelson, 1992, p. 114) committed to excellence in student

learning using creativity and innovation to adapt to its internal needs and external environment. The history also gives background and understanding of the mission and goals, and it sets the foundation for analysis of how the leadership role contributes to strategic planning and organizational renewal, as well as shaping the organizational culture (Nelson, 1992).

In 1994, the college began to study the efficiency of its operational costs in response to California's mid-year budget shortfalls and local budget constraints, increasing competition from other educational institutions, and the desire to improve the quality of programs and services and to increase the effective use of technology.

The College Planning Council, which is the institution's shared governance committee for planning and resource allocation decisions, was granted permission by the Western Association of Schools and Colleges accrediting commission to conduct an experimental comprehensive self-examination, named Project Redesign (Santa Barbara City College, 1998b). This methodology was used in lieu of a traditional accreditation self-study. The outcomes from this self-study provided the impetus for the college to develop its 1999-2002 College Plan (Santa Barbara City College, 1999b) and served as the foundation for the second request for a non-traditional self-study framework in 2001 titled Model Community College, which produced the 2002-2005 College Plan (Santa Barbara City College, 2002a).

Business Process Reengineering at SBCC: Project Redesign

SBCC's Project Redesign was predicated on the assumption that the way they were doing business at a certain point was no longer satisfactory, meaning that the current practices were not adequate, resources were being diminished, and they were not

able to leverage technology to the fullest. The school went into Project Redesign with the assumption that they could conduct the business of the college much more efficiently and, as a result of that, stop cutting away dollars from state resources and be able to support salary increases and new directions for the college. Project Redesign became an opportunity to place Santa Barbara City College in a mode of operation that would be reflective of the 21st century and to put it in a framework where the college would be highly enabled electronically. So they began to have teams research and analyze how the major processes of the college, such as admissions, student financial aid, and instructional programs, were conducted. The next concept was that if they could apply technology effectively, they could conduct their work differently, such as offering on-line registration to students, changing staffing patterns, or offering on-line courses to reduce the need for more classrooms.

The college proceeded to redesign four major areas:

1. Instructional design development and delivery—going from no on-line classes to over 45 on-line classes serving over 1,200 students and providing electronic access to students and faculty to increase communications between them.
2. Technological infrastructure—IT support for classes, labs, mainframes, servers, and cabling throughout the campus, and the entire planning of the infrastructure that would support the vision.
3. Conversion of information systems—such as the student information system, human resources system, and the finance system, increasing the number of transactions that could not be done with the old applications.

4. Development of web capabilities—business management functions such as access to budget data, hiring processes, interfacing with students, class rosters for faculty, and admissions are to be electronically based and operated via the web.

The following section on leadership introduces the team of professionals who led efforts to develop the vision of the college as well as the essential infrastructure that focused on the success of each student.

Leadership

In *Cultural Leadership: Inside America's Community Colleges*, Michele Nelson (1992) stated, "Transformational leaders set the tone for the organization, creating an environment where capacity for the leadership is enhanced and followers are empowered to lead in their own right" (p. 118).

Dr. Peter MacDougall, Superintendent and President of Santa Barbara City College District since 1981, has distinguished himself as a transformational leader. He has developed a leadership team consisting of equally committed and experienced community college administrators, faculty, and staff, as well as those who are new (from private industry and 4-year institutions) to the community college venue in higher education (Nelson, 1992).

At Santa Barbara City College, the leadership team was observed using business process reengineering methods in a systematic way to improve the effectiveness of the institution. This section describes the leadership team, which includes the President, the Executive Vice President for Educational Programs, the Vice President for Business Services, the Vice President of Information Resources, the Director of Institutional Assessment, Research, and Planning, and the Academic Senate President. Quotes from

these individuals come from interviews that I conducted with them, unless otherwise specified.

The President

Effective leadership sets direction, articulates with clarity the institutional vision and mission, and intentionally creates an organizational environment/culture in which designated goals can be achieved. Dr. Peter R. MacDougall is a strong and highly effective leader who has kept his institution on the cutting edge of higher education's responses to external forces for over 20 years (Nelson, 1992). Dr. MacDougall fosters an open, collaborative, and collegial climate. Rowley and Sherman (2001) define this collegial atmosphere as a "cooperative and positive environment in which knowledge is generated, analyzed, and disseminated" (p. 178). Nelson, in describing MacDougall, stated, "He recognizes that he is most effective when he and his team collaborate to deal with an ever-changing external environment in an ongoing process of shared vision" (Nelson, 1992, p. 119), and "he manages change while systematically weighing decisions against the shared vision and values" (Nelson, 1992, p. 121).

Dr. MacDougall came to Santa Barbara City College with teaching and administrative experience at the college and university level. He served for 7 years as Dean of Students at Rutgers College, with the last 6 years also as Assistant Professor of Counseling, Psychology, and Guidance in the School of Education at Rutgers University. He began his career in the California community colleges as Dean of Students at Los Angeles Pierce College, one of the nine colleges of the Los Angeles Community College District, where he served for approximately 4½ years. His next assignment was Director of Student Services and Educational Services for the Los Angeles Community District for

about 18 months. And then, in 1981, he was selected as Superintendent/President of Santa Barbara Junior College.

In addition to his professional duties on the college campus, Dr. MacDougall is intricately involved in the Santa Barbara community. He has distinguished himself in leadership roles while serving on state and community boards and task forces. In addition, he has co-authored a number of articles on institutional effectiveness and student success. Also, in 1989 the University of Texas selected him as one of the nation's top 50 community college leaders. Furthermore, in 1991 MacDougall was named 1 of the 12 most influential people in Santa Barbara by the Santa Barbara Chamber of Commerce.

Bill Hamre, the Vice President of Information Resources, stated that Dr. MacDougall is "highly organized and an avid reader who shares heavily annotated articles with his Vice Presidents and Deans for each of their areas." Yet he makes time to interact closely with faculty and students as he walks across the SBCC campus. According to Dr. Andreea Serban, Director of Institutional Assessment, Research, and Planning, he is frequently thanking them for their hard work and commitment to the college. She believes that he knows everybody's name in the institution. She stated, "He makes a point of meeting every new person hired, which is quite an effort considering the many part-time people who are hired over time. . . . He is very out there; he is not a sit-in-the-office kind of person."

In addition to knowing his staff, Dr. MacDougall knows and understands his institution and its internal and external opportunities and challenges. According to Kashner (1990), "readying an institution to reply to the conditions that call for change or

to innovate on the institution's own initiative requires a clear understanding of its corporate culture and how to modify that culture in a desired direction" (p. 20). Dr. MacDougall has accomplished this by developing a culture of trust and openness through participatory planning and decision-making. As the college began planning for the 21st century, he recognized the need for change yet again. The 1995 Project Redesign, a new planning process championed by Dr. MacDougall, was based on the principles of reengineering found in *Reengineering the Corporation* by Michael Hammer and James Champy (1993) and *The Reengineering Revolution* by Michael Hammer with Steven Stanton (1995). Reengineering is the fundamental reconceptualization of what organizations are about (Hammer, 1996). This framework consists of a radical approach to change within an organization, because it requires a complete rethinking of how work gets done. It changes the orientation of the organization from individual tasks to systematic processes—a process-centered organization. Hammer (1996) stated,

In the process-centered organization, this program of process improvement is not a secondary and peripheral activity. It is the essence of management. The process-centered organization embodies the notion that one manages a business not by managing budgets, departments, or people but by managing processes. . . . It is the processes, the inert designs of work, that need management and oversight—not people. (pp. 80-81)

In embarking on this journey to develop a process-centered organization, Hammer suggests an organization must (a) identify and name its processes, (b) ensure that everyone in the company is aware of these processes and their importance to the company, (c) develop measurements to evaluate the performance of the process, and (d) be committed to the management of the processes. The organization must continue to be diligent about scanning the environment for changing needs (Hammer, 1996, pp. 14-17).

Due to the many changing external forces, such as reduced funding and budgetary constraints, emerging technology and delivery systems, changing demographics, competing institutions, and the desire to increase student success, Dr. MacDougall and his team wanted the college to take a fresh look at itself, to renew, revitalize, and reemphasize the reason for its existence. They wanted to replace the existing design with one that was more effective for serving their students and their community.

Dr. MacDougall stated that all four of the redesign components have to be planned horizontally, so it has taken a long time to get the planning teams integrated and the work done.

We are in good shape, but we will get better as time goes on. SBCC will be highly enabled electronically, will operate a great deal by the web, will provide modes of interfacing with students in new ways, and communications with one another in vastly different ways. . . . The wonderful thing about this activity at the college is the broad base support of the faculty and their involvement in innovation and leadership.

In summary, President MacDougall's style of transformational leadership provides a vision, identifies initiatives and processes that speak to the changing environment, and gives his faculty and staff a sense of direction that they can understand and support. Nelson's (1992) description of this President reflected principles of leadership behavior when she said, "Through modeling and by consistently expressing the goals of excellence over an extended period of time, MacDougall has instilled excellence for any project or issue with which the college has been involved" (p. 120). MacDougall and his team identified reengineering as the most appropriate model to begin renewal and increase effectiveness.

Executive Vice President for Educational Programs

Dr. Jack Friedlander has had a long and productive career at Santa Barbara City College. He began his tenure in 1986 and over the years has served as a divisional Dean of Instruction for Business, Technology, Fine Arts, Foreign Languages, and Social Sciences. In addition to his work as Dean, he received other assignments, including Institutional Research. His research on assessment and institutional effectiveness at Santa Barbara has served as a presentation topic at many conferences, and he has authored or co-authored over 65 articles, monographs, and book sections in community college journals such as the *Community College Review* and the *New Directions for Community Colleges* series published by Jossey-Bass, Inc. This research has contributed to SBCC's reputation for accountability and student success, and the college has served as one of four models in the Institutional Effectiveness Pilot Project for other California community colleges attempting accountability measures and reports (Friedlander, MacDougall, & Hamre, 1993).

In 1995, Dr. Friedlander was promoted to Vice President of Academic Affairs and had to reduce his role in institutional research. Five years later, in the spring of 2000, he was appointed as Executive Vice President of Educational Programs, which encompasses an integrated unit of both academic affairs and student services. The reason for the integration is that there were more interdependencies than ever before between Instruction and Student Affairs, so it was decided both would be improved if they functioned as one unit in planning and decision making. Dr. Friedlander, who oversees the program review process for the college, has modified the 5-year program review process to include an annual departmental review that will be discussed in more detail in the program review section.

Vice President for Business Services

The Vice President for Business services, the newest member of the leadership team, has been with the college 9 months and is new to higher education administration. He comes with private sector experience, and although he has not yet experienced the program review process at the Santa Barbara City College, he knows the business model of performance evaluation and understands the principles that drive the educational model of program review. In his prior life in the private sector, programs were called activities and were reviewed to determine if the programs/activities were meeting their performance goals and being allocated the right amount of resources. Reviewing activities determines if they are successful in meeting existing goals and if they should be continued.

At SBCC, there is only a small amount of monies in the general fund budget (approximately 5-10%) available for collaborative discussions. The largest amount of the general fund is used for salaries, benefits, and basic operating costs (90-95%). When asked about his perceptions regarding planning and budget, he responded that a budget should be based on a combination of two things: first, what the priorities are, and second, where the institution is failing to meet performance objectives and measures.

The Vice President of Business Services, also suggested that budgeting is more than a mathematical process. It is also a political one, and when both processes are used, the right allocation of new resources can be arrived at.

Vice President for Information Resources

Another member of the leadership team is Bill Hamre, Vice President for Information Resources. At the time of data collection, he has been with the college for

13 years, arriving initially in 1987. Bill first came to serve as Assistant to the President, a staff position responsible for planning, research, and accreditation issues. After 3 years in that position, Bill was selected for a new challenge—to refine the College Information Systems, which he has done for the past 10 years. This change was prompted by a decision to stop outsourcing the Information Systems and Information Technology operations and to restructure and bring them back to the college campus. Currently, Bill is responsible for all of the college's computer technology for both academic and administrative systems, and he represents this important area on all the major decision-making committees and councils.

When asked about how he came to Santa Barbara City College, Mr. Hamre spoke of his 20 years of experience in Sacramento, California, working at the State Chancellor's Office as Vice Chancellor for the Management Information System Division and with the Post Secondary Education Commission. He gave two reasons for coming to Santa Barbara. First, over the years he had observed and respected the work of Peter MacDougall from the state level and was encouraged by the possibility of working with him. Second, he was really tired of state government and the bureaucracy of trying to get things done in Sacramento. He smiled and continued, "Santa Barbara is a nice place to work." Bill Hamre's first position with the college as Assistant to the President included planning and accreditation and consisted of 80% special studies for the President. He and his research assistant did all of the data development, administered the institutional program review activities, and used a state grant they received to assist in the development of the State Accountability Model, which led to the development of the annual institutional assessment document they are currently using.

This was a great opportunity for the college and great job for Bill because he had a good understanding of the state data elements and how the college might apply those elements to local college decisions. Now he was on the other side of the table and was able to see and understand the angst that the college districts were experiencing in having to comply with the reporting requirements.

Institutional Researcher

Dr. Friedlander conducted institutional research as one of his many responsibilities until 1995 when he became Vice President of Academic Affairs. Over the following 4 years, with no institutional researcher on staff, the college experienced a more decentralized and less powerful research function. Recognizing the need to substantially strengthen and increase its capacity to manage and conduct research, in 1998-99 the college allocated supplemental state funds known as Partnership for Excellence funds to develop and staff an Institutional Assessment, Research, and Planning Office. Dr. Andreea Serban, Director of Institutional Assessment, Research, and Planning, arrived at the college in September of 1999. She came with an extensive research background and publications primarily with 4-year institutions and in the area of performance-based funding. Through the work of Dr. Serban and her staff, the college has improved its ability to successfully respond to the continually growing needs of institutional research and analysis. These needs include extensive reporting requirements of the State Chancellor's Office of California Community Colleges, assessment and accountability studies, effective decision-making support, and tracking the College Plan goals, objectives, and outcomes. The 2002 Accrediting Commission team was able to validate in its October 2002 evaluation report that SBCC "has continued and deepened its

culture and tradition of conducting and integrating institutional research into the planning, evaluation, and decision-making of the college” (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 10).

Dr. Serban and her staff also used research data and studies to assist faculty and administrators to improve program results and the success of students. One significant document that is produced yearly is the Institutional Effectiveness Report, which tracks an expanding selection of institutional effectiveness indicators. This annual report includes key information and issues about student access, student success, human resources, demographics, diversity, and fiscal and physical resources.

The Director of the Office for Institutional Assessment, Research, and Planning provides sound research about students, faculty, staff, and programs in order to enhance decision making, problem solving, policy review, and institutional assessment. She has moved the college to a knowledge management framework that makes information more directly accessible to everyone involved in the decision-making process.

Academic Senate President

The Academic Senate is the representative body of faculty that participates in the shared governance of the college and funnels ideas and concerns to the college community. She has been with the college for 26 years. She has worked as a counselor for 16 years and is currently a counselor in the Transfer Center of the college. As one of four designated faculty from the senate, she is a member of the College Planning Council. Just as the Executive Vice President, Friedlander, is a member (non-voting) of the Academic Senate, The Academic Senate President is a member of the Executive Vice

President's management group and the Dean's Council, which demonstrates a sharing of information across all levels of the institution as well as the comfort level that constituents of the college have with its open processes.

When asked about program review, she stated, "Program review for us is surveying our clients . . . students, our peers, staff members, administration, or people who are off campus serving on advisory boards—asking our clients how we are doing." She continued, "Each department goes through this process every 5 years . . . and while people don't look forward to it, due to the time and work commitment required, for the most part departments take it seriously."

Classified Council President

The Classified Council President was unavailable during the interview process. Documents indicate that there is opportunity for classified staff to participate on various campus committees but there is no indication as to the effectiveness of participation.

Summary of Leadership

The leadership team introduced in this section consists of professionals who are committed to excellence. Each brings a high level of facilitative expertise, creativity, and innovation to the college community as they empower their staff to achieve the college's vision, mission, and goals. The leadership team and the college community used the redesign process to analyze and restructure four areas of the college that led to the new College Plan. These areas will be discussed in the planning section of the integrated process (Santa Barbara City College, 1998b). Since the completion of the first phase of Project Redesign, the college continues to build on the redesign foundation and has

developed a framework for planning, termed “Model Community College,” that will carry the planning and budgeting processes into 2005.

Although leadership is essential for transforming an institution, it is insufficient for completing the task. A dictated change process is less effective than one which evolves from the work of those who have agreed upon the preferred outcome. Leaders must develop a new shared vision of what the institution can become and work through the existing culture, encouraging broad participation and commitment to the new vision (Chaffee & Jacobson, 1997).

Institutional Culture: Driven to Achieve

E.H. Schein’s (2004) book *Organizational Culture and Leadership* defined culture as

a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 17)

Organizational culture is the blueprint of basic assumptions and shared meaning that shape member behavior. Nelson (1992) described Santa Barbara City College as a “powerful model of an organizational culture with shared values at every level” (p. 31). This “culture” is palpable as you talk with and observe members of the college community. During the faculty focus group, the Curriculum Committee chair said,

We are on a roll on this campus that I don’t think is ever going to stop. It is like the snowball and we just keep gathering more momentum as we go. We are constantly changing, evolving, adding new things, and trying to be creative. I think our biggest problem is that we don’t have enough people to do all the creative things we would like to do.

The Academic Senate President added,

I think that the institution's common and deep abiding focus on students keeps us going in the right direction. Any kind of information that we can gather that makes that experience for students better is a uniting factor and one that makes us keep trying to do things better. And we get that input through program review from what our students think about what we are doing.

The college validates Chaffee and Jacobson's (1997) concept that "groups that share a common history and have been stable over a period of time tend to have a strong culture" (p. 235). Dr. MacDougall described the broad base of support for the redesign activities: "The faculty have just been wonderful. They have been very involved in innovation and leadership." During the student focus group an international student commented that

you come on campus and it's not just your school, it's like it is part of your life. I am here 7 days a week, I work here, I study here, I am involved with the [Student] Senate and committees and it is part of my life right now. I feel whole here—after coming from Germany, a different country, different culture, and it helps a lot being in this kind of school.

Another student talked about trust from the faculty towards leadership. He said, Part of the reason that the faculty work so well is because my teachers will always make the point to always question no matter what. . . . There is a lot of stuff that doesn't stay hidden—it comes out a lot because there is such an intelligent faculty here that people aren't afraid to question and things are out in the open.

A third student added,

We . . . [are] a community college, but I would say the quality of this school is almost like university level, especially if we talk about faculty. We have excellent faculty [who] other colleges or university would be happy to have. . . . On this campus, that really helps the student to feel like you get a great education just being in a community college instead of the university. You feel you already get a better education.

Nelson's (1992) study of Santa Barbara City College revealed "the presence of a deeply embedded organizational culture with shared values evident in organizational rites, ritual, and symbols" (p. 115). It is a planning and research culture committed to

solving problems with a focus on student success and “teaching as a craft” (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002). The organizational framework and processes for governance, strategic planning, and decision making support the five themes that have emerged from Santa Barbara City College research data: shared governance, systematic comprehensive assessment, data-driven decisions, effective communications, and a dynamic organization—open, trusting, and flexible. Each theme is discussed in a subsequent section.

Shared Governance

The term “shared governance” has come to importance in an attempt to accelerate cooperation between college stakeholders (Cohen & Brawer, 1994). The California Community College Reform Act, AB 1725, is the legislative restructuring of the balance of power within the California community college system. “It mandated a shared governance system at both the local and state level” (Spencer, 1995, p. 129). The state level calls for collaboration between the Chancellor’s Office and the colleges through seven system-wide consultation councils representing the constituencies of the colleges. The local level requires the college’s administration to “collegially consult” with faculty and staff throughout the decision-making process (Spencer, 1995).

Shared governance or collaborative decision making is the preferred method at Santa Barbara City College. This consensus-building decision-making process gives all constituents or shareholders an opportunity to participate and be heard. It encourages teamwork where discussion, analysis, and compromise occur and where final outcomes emerge and have a strong base of support for implementation. Dr. Friedlander confirmed

that there is a spirit of cooperation at SBCC and, although there may be disagreement on issues, people respect each other. “There is healthy skepticism, but not a resistance,” he stated.

The College Planning Council, the major governance body at SBCC, is designed to include all vice presidents, four Academic Senate faculty, classified staff representatives, and student representatives and is responsible for the College Plan, resource allocation, and budgeting. It is weighted with administrators, and faculty and students appear to have a more visible role, involvement, and voice than classified staff. Students appreciate the opportunity to contribute to college decisions that affect their educational experience, and it is a mistake not to include students as stakeholders in planning and decision-making processes. Although the process is slow and cumbersome, there is greater buy-in from participants. The process results are usually advisory to the President or governing board, which maintain the right for final decisions.

One of the core values of the college is to foster faculty and staff collaboration and collegiality. This can be seen in management committees, governance committees, and other college processes. When asked about his participation with faculty in the Senate, Dr. Friedlander said,

Yes, I am a non-voting member of the Senate, so I attend all Senate meetings. I also started a tradition 3 years ago that I have the Senate President attend all of my Dean’s meetings, that is called Dean’s Council. . . . I just did it voluntarily; now they like it so much that they put it in the Code. . . . I know it is unusual to have the Senate President sit in all of my management meetings.

Benefits of shared governance can best be seen in a stable environment like SBCC. In the 2002 Accreditation Evaluation Report, the team acknowledged and supported this innovative example of collaboration and collegiality by describing the

relationship between faculty and administration as “shared governance at its best” (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 33).

In turbulent times or institutional exigencies, a more direct method of decision making may be required to direct the college through possible political maneuvering. Dr. Friedlander knows that he and the President have the right not to consult with the faculty on non-faculty issues, but they choose to take issues like the college restructuring through the collaborative process. He said,

Lots of debates, lots of discussions, and I got a better plan as a result. . . . I think what’s nice is that things are working both ways where there is an expectation of cooperation and shared governance working here, and we will follow those rules even though technically you don’t have to do the sort of things that we do.

Faculty and students appear to be actively involved and have well-defined roles as they participate on governance committees and in college decision-making processes. The classified staff appear less organized (although they have union representation) and less certain of their role in the governance process, which appears to reduce their effectiveness and participation in the colleges processes.

Systematic Comprehensive Assessment

To ensure educational quality, college-wide assessment measures based on the college’s strategic plan have been developed to monitor institutional effectiveness and identify areas and develop initiatives for improvement and growth. The Institutional Effectiveness Report is the result of the college’s evaluation, planning, and budgeting/resource allocations processes. The report is created around four major areas: (a) student access, (b) student success, (c) human resources, and (d) physical resource use and renewal, all with goals related to the college’s mission, function, and resources

(Santa Barbara City College, 1998b). “The primary purposes of the Institutional Effectiveness Report are to guide the improvement of the instructional and student service programs, and support the development of initiatives designed to promote student success” (Santa Barbara City College, 1999-2000, p. 7).

Student access issues address student diversity, the number of students, and their ability to receive instructional and student services. Student success data track the matriculating students’ progress toward meeting their educational goals. This may include persistence (fall to spring semesters), successful course completion, percentage of successful basic skills courses completed, and degrees and certificates awarded. Human resources data include ethnic and gender composition of full- and part-time faculty and staff, especially new hires. And the fiscal and physical resources section reports the fiscal condition of the college, including number of students served above capitation (those students who are beyond the maximum enrollment, for whom the college will not necessarily be reimbursed by the state), funding comparisons to other segments of education in the State of California, revenues and expenses, the adequacy of the reserve for contingencies, funding for equipment replacement, and building space and availability. Data from all these venues provide quality information to the management processes from which informed and reflective plans and decisions can be made.

Data-Driven Decisions

Dr. Serban, the Director of Institutional Planning and Research, attributed the following quote on her wall to Edward Deming: “In God we trust, all others must use data.” It is simplistic and covers everything from raw data to analysis to evaluations.

Performance accountability was another significant requirement of AB 1725. The legislature had questions regarding the success of students towards their educational goals. The questions were related to the community college's mission, such as work-place preparation, as well as the successful transfer to 4-year institutions. "While asking for performance accountability, AB 1725 did not mandate that community colleges provide the data necessary to conduct planning and decision-making activities" (Spencer, 1995, p. 130). Therefore, the colleges had to voluntarily agree to provide this information to the Chancellor's Office (Spencer, 1995). Santa Barbara became one of four colleges designated to develop and test a state accountability model for the collection, analysis, and reporting of student data to the Chancellor's Office. That original model has become the foundation of the current college-wide assessment process.

At SBCC, staffing patterns, program improvement needs, anticipated future needs, and new initiatives are funded based on data received from measuring the institutional effectiveness objectives and indicators established for college-wide assessment. Faculty use student data for their annual and 5-year program reviews to determine program needs, and the College Planning Council receives reports and funding requests based on the student and program data. To corroborate the concept of data-driven decision making at Santa Barbara City College, Nelson (1992) wrote about the decision-making process policy:

Before a research project is undertaken, questions are asked to determine whether the information will be used to improve instructional practices and/or will be used by the student services division to help students be more successful. . . . By asking these and other pertinent questions, Institutional Researcher Jack Friedlander maintains the institutional research process as a productive and facilitative mechanism for institutional improvement and resource allocation. (p. 120)

Bill Hamre remembers his work as the Institutional Researcher when the college began to utilize a decentralized institutional research model in which individual faculty members, deans, and other interested individuals took responsibility for conducting specific research studies. This decentralized model did not provide the depth of the information or the capacity of the current research model. As he and Dr. Friedlander progressed up the administrative ranks, there was less time and there were fewer personnel to supervise the research aspect of the college, and for a period of 4-5 years minimal research was being utilized to direct the college. Vice President Hamre talked about recent changes in the research office: "It has been a real positive experience this year with Andreea." Research and planning require ownership and management by someone in an organization; "it is not something that can be effective if there isn't that overall leadership and direction."

Since the arrival of Dr. Serban, the college is moving to a knowledge management framework of operation. The goal is the sharing of information and knowledge instantaneously, with direct access more available to everyone. Dr. Serban shares that they are implementing a decision support system that will be deployed to their portal environment. The Institutional Assessment, Research, and Planning Office will still be the main keeper of the data. Standard reports and templates will allow appropriate individuals to create their request for ongoing and ad hoc planning and decision-making needs (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 9). For those who are interested in doing their own analysis, Dr. Serban is building a Business Use format, which will organize the

departmental data into summaries, and the department chairs will have easy access to the information at will.

Utilizing student records and student services tracking systems, the Information Resources division is responsible for providing to Instructional and Student Services department chairs data that were necessary for conducting program reviews. Bill Hamre stated, "Information flows freely both up and down the SBCC organization. Administrators work hard at keeping their constituencies informed."

Dr. MacDougall has made it known that the college will make decisions through analysis and research, and that is the vehicle to drive decision making. It is not making decisions based on pure politics or speculation about what might happen, but rather through very thorough detailed analyses of the one-time and ongoing costs of the new initiative and making sure that they have the ability to support that in the long term. Dr. MacDougall encourages his administrative staff to consolidate the workload, reduce unnecessary duplication, and delegate decision making to the lowest level possible (Nelson, 1992).

The accrediting team report (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002) stated that

it became clear to the team from observations of meetings, review of documents, and interviews that the use of effectiveness indicators and research and analysis for improving performance is so deeply embedded into the culture and traditions of the college that program managers and members do not even fear public availability and discussion of indicators with negative trends. Rather such cases are simply seen by everyone as challenges to look further for strategies to improve performance. (p. 10)

"Quality practitioners always want to see the data and they want to see it in public" (Marchese, 1997, p. 507).

Effective Communication

Effective communication is a complex process, defined by Ross (1999) as the “exchange of information and understanding between two or more people” (p. 48), and this information or message must be in terms of the recipient’s experience and perception. Communication is inextricably linked to the quality process, and open lines of communication ensure that organizational members know why an action is being taken and what is expected of them (Richardson, Richard, & Wolverton, 1994, p. 51; Ross, 1999). Effective communication includes an upward and downward pathway that requires active listening by both the leadership and the participants. At SBCC, effective communication is demonstrated by the clarity of mission, goals, and direction as well as clear expectations for their implementation.

Effective communication is also a prerequisite to problem-solving and one of the most fundamental skills in life. The primary difficulty with communication is the translation problem—translating what we mean into what we say and translating what we say into what we mean. A key to accurate translation or effective communication is trust. Dr. Friedlander described the communication process as friendly: “There is a lot of dialogue that happens—give and take that goes on. It’s a respect; we disagree on things, but it isn’t personal.” When there is trust, there can be a misunderstanding of the verbal communication and still the meaning will get across. When trust is high, communication is easy, effortless, instantaneous, and accurate. When trust is low, communication is difficult, exhausting, and ineffective (Drucker, 1995).

Leaders must communicate and listen with consistency and unambiguous clarity of purpose. The President of SBCC is viewed by his staff as an effective communicator with both the college constituents and the local community. Through his leadership Dr.

MacDougall communicates the goals and needs of the college with the community as evidence by the Santa Barbara College Foundation, which provides over \$5 million annually to assist the college in meeting its goals. Dr. Serban stated, “I think it is very important to be visible as the leader of the institution and to communicate to people and know about them.”

The current management processes include committees and councils that have broad-based participation of college constituents—shared governance. A faculty member shared that they tend to identify issues as part of ongoing reassessment. He stated, “If we realize that we have a problem, we try to identify a solution to it and communicate that to our Dean or the appropriate staff, and then we start pressing on it.” The President’s efforts to implement a more horizontal planning process through Project Redesign require information for the integration of all management functions to extend the level of information available to the college constituents and the local community. The college has developed a knowledge management framework to assist in decision making. This web-based information system expands access to data and information from all departments. Dr. Serban has tried to involve everyone who is a client for the project by including them in the way decisions are made regarding the project. Dr. Serban stated, “It is good to let people know up front what you are trying to do, and I think they did that here with the whole communication process.” An example is the weekly publication the *College Memo*, which updates campus staff on the current activities.

The college is in a mode of operation that is reflective of the 21st century, putting it in a framework where the college is highly enabled electronically. Dr. MacDougall stated that “we are providing modes of communicating with one another and the students

that are vastly different from what we had before.” Dr. Serban stated, “It is not a closed circle anymore, it is actually open, and you have the indication that anyone can use it no matter where they are. You have all the constituents becoming part of things.”

Dynamic Organization

“Change is not incremental or revolutionary—it is continuous” (Dick Shafer, as cited in Lang, 2001). An organization is a living system that is continuously going through a life-cycle process of growth, maturity, decline, and renewal. During this process, rapid and continuous change creates a dynamic environment that forces organizations to be kinetic—set in motion by information, relationships, and identity (Nelson, 1992; Wheatley & Kellner-Rogers, 1996). Being a dynamic organization means exploring alternative organizational paradigms and deliberately seeking to be infinitely innovative and adaptable (Dyer & Shafer, 2003). According to Dyer and Shafer (2003), the paradoxical yet dynamic organizational paradigm is termed “chaordic” because it “harmoniously blends characteristics of chaos, fluidity, and flexibility on the one hand with a modicum of order, control, and predictability on the other” (p. 7), thus contributing to the organization’s agility.

The environmental forces that motivated SBCC to seek change were the drive for continuous improvement of programs and services, the budget constraints including the California State budget shortfalls, the increasing competition by other educational institutions, and the changing demographics of the Santa Barbara area. In order to address these issues effectively, the college was willing to conduct a self-examination of its processes and procedures.

Dr. MacDougall utilizes a system of college-wide, cross-functional teams made up of interested individuals and those whose work assignments are relevant to the issue, who together gather information and then plan and coordinate college-wide efforts. Richardson et al. (1994) stated, "The leader serves as a guide to a jointly defined future and makes the vision both practicable and compelling. The gap between a shared vision and reality represents creative tension that leads to opportunity" (p. 54). Santa Barbara City College's openness to change creates a shared culture where administrators, faculty, staff, and students synergistically collaborate to define priorities and plan for implementation. Their common values and beliefs are embedded and communicated in the college's activities, processes, and procedures, encouraging creativity, innovation, and risk-taking to accomplish the desired results.

Synergistic collaboration sees conflict as healthy, functions well on joint participation and collegiality, and is based on clearly defined mission and goals. It uses an overarching vision or common caring in order to develop the common principles that preserve the shared culture. "Members of a group are empowered to work together synergistically toward a common goal or vision that will create change, transform institutions, and improve the quality of life" (Astin & Leland, 1991, p. 8). In the educational arena, student achievement is the central priority in a shared culture that utilizes synergistic collaboration.

In summary, institutional culture can be a strength, supporting change and growth, or a liability, causing the institution to stagnate, but it is "generally a strength in that it projects the image of the institution" (Vaughn, 1994, p. 64). A common leadership mistake is the "failure to recognize an institution's governance structure as an aspect of

its culture” (Vaughn, 1994, p. 66), because understanding the culture and moving within its framework can save leaders a great deal of grief and increase the possibility for change.

Santa Barbara City College’s culture is a way of life for the institution. Its shared meaning, beliefs and values, openness to change, and data-driven decision making permeate every facet of the operation, particularly how the college’s constituents see themselves and how they value their contribution to the institution. It is the social glue that enables the college to solve problems and plan for its future. The college has recognized that teamwork depends on a willingness to share power, extend trust, and establish open communications; therefore, they are able to adjust as environmental challenges arise (Piland, 1994; Seymour, 1992).

SBCC is a place where creativity is valued, that uses systematic strategic planning and decision making, and that has good organizational communication in a cooperative and collaborative atmosphere. The trust and respect engendered through shared governance, the rich information from assessment that supports data-driven decisions, the effective communication, and the dynamic organization that is vibrant and open to change have been intentionally and effectively shaped by the leadership and reflect the college’s mission and values. These attributes also position the college to successfully integrate its educational and management processes.

Educational and Management Processes

Program Review

Leadership is considered one of the most important aspects of implementing program review outcomes (Hoey, 1995a, 1995b; Spencer, 1995). Dr. Peter MacDougall

stated that program review at Santa Barbara City College is “taken seriously” at every level of administration, faculty, and staff. The President and Board of Trustees hear and review every program review conducted because their outcomes and findings are presented in public meetings. President MacDougall stated that “I take it seriously. I think that is a factor; at least it ensures that a certain amount of attention is going to have to be paid to it.”

Dr. MacDougall shared his philosophy and personal rationale for program review. Program review is practical, and one of the primary purposes of program review is to tie the outcomes into planning. One reason that program review is useful is that it helps to develop the sense of community within a discipline area by the faculty members who are there. They develop a sense of connectivity with one another, a sense of purpose for what their discipline is doing for the institution, and what it might do differently over the next 5-year period.

Dr. MacDougall believes that the college has tremendous brainpower in the academic discipline areas, but if they are never asked to think and give a product then the college does not capitalize on that brainpower. Therefore, program review gives the opportunity to see what might come out of the creative process. It becomes more than just a review, but begins to ask questions such as, What else are we capable of? In what directions should we be moving? What is our clientele looking for? What can we provide for them?

Dr. MacDougall is directly involved with program review in three ways: by (a) instituting the necessity of program review as an institutional value, (b) ensuring that

there is a template for proceeding with program review that coincides with the accreditation cycle, and (c) looking at the content of the program review elements.

Program review at SBCC was developed through the shared governance process where the Vice President of Academic Affairs, with the Academic Senate, established and approved guidelines for the process. As in most institutions, program review at SBCC has been an evolving process for the last 8-10 years. Bill Hamre, Vice President of Information Resources, remembers the college having at least three different policies on program review in the last 8 years and believes that SBCC is continually refining the assessment activities of the institution.

The issues surrounding the program review process at Santa Barbara City College are not if or when there should be program review, but (a) what format, (b) how often, and (c) how to fund outcomes. At SBCC there are two program review processes in place. First, there is the traditional 5-year cycle where 20% of the Instructional and Student Services units take their designated turn in completing a self-study document utilizing generated data to measure typical educational goals. For each of the academic units, the Vice President of Educational Services, the Dean, and the department chair meet to review the basic data, discuss issues that need to be addressed, and decide what the department needs to focus on. Then that department includes the suggestions in the program review along with the process guidelines. When the departmental faculty have completed the process and reached their findings, they go through and look at the outcomes, recommendations, and goals. Friedlander gives them feedback on issues that need to be addressed and this then gets forwarded to the College President, who in turn

forwards it to the Board of Trustees, and the department makes a presentation to the Board of Trustees.

Second, the spring annual review, instituted by Dr. Friedlander, is a less comprehensive version of the traditional program review process. This revised process was instituted because people were becoming busier than they have ever been. Things were changing much more rapidly; there were many more demands on everybody's time, so the question was how to streamline this process to achieve the desired result. A document that goes back 5 years is dated by the time you print it and it goes to the Board.

Dr. Andreea Serban, Director of Institutional Research and Planning, agrees that they are going through a process at the college to change from the 5-year traditional format of program reviews to an annual process where all departments do an annual program review that is not as elaborate as the 5-year program review, which sometimes ran hundreds of pages. The idea is in this day and age, an institution or department cannot wait once every 5 years to take a total look at itself given all of the changes and the need to be responsive to change. This change came from the Executive Vice President, and at the time of the interviews was going to the Academic Senate. Dr. Serban is sure this initiative will prevail because it makes sense.

Dr. Friedlander began to develop a modified program review process (the annual review) that was streamlined for the cogent facts of the immediate school year. At the annual review, the Vice President of Educational Services meets with the divisional dean and department faculty to take a look at the department's goals and achievements for the year. The annual program review report is the basic document that Dr. Friedlander looks at for the review. Dr. Serban stated that the emphasis is not on pages or having a long

report that nobody reads, but rather on pinpointing critical changes that face the department within a yearly cycle. This is so the department can more quickly make changes that are really significant in their operation.

Every year Dr. Friedlander meets with every department, including the dean, the chair, and faculty for about 1½ hours to discuss the goals for the upcoming year. Before each meeting, the research office provides all of the departmental data to the department chair. Then there are discussions regarding issues or concerns raised on both sides of the table with immediate feedback as to feasibility and/or possible funding sources. Dr. Friedlander described the meeting's outcomes:

We get clarification as to where they are going, and for the most part I can stop right there and feel I have done program review on an annual basis. . . . There is clarity. At that meeting they know exactly where they stand, or if I don't know, I will get back to them by a certain time. I think there is a lot of satisfaction in that part of the funding process.

Dr. Friedlander believes that the annual meeting is a superior product to program review. He likes the departments to think every year about what they are doing, and what comes out of the discussion are issues that will be identified and addressed right away or put on a list to be addressed. Staffing issues get defined and strategies are developed on how to resolve staffing problems. Sometimes it is just about funding, but at least there is a path showing the steps to take to address those issues. Departments are encouraged or not encouraged to submit proposals to the Senate for new faculty positions. Program development, program modification, and program curtailment are always discussed at those meetings. The desired outcomes of these discussions are measured against the college's mission and plans.

One of the concerns about this truncated annual version of the program review is that curriculum review is not currently part of the process. The Curriculum Chair, believes that the in-depth review of the curriculum needs to be intimately involved in the program review process instead of having two separate processes, as they have now.

When the faculty leader was asked how she was involved with program review, she stated, “Trying to find ways of mitigating concerns that people have brought forward or celebrating our strengths. Making sure that the things that are working stay in place and looking for ways to fix the things that aren’t working.”

The Academic Senate President, believes that the real value in program review is in the department itself. She believes that the opportunity for colleagues to talk about a common situation or a common goal brings people together. They are not talking about who does what, they are talking about the department and how their services are delivered and perceived. It gives the department an opportunity to plan together, to set some goals together, and to participate in the creativity that may go along with identifying and accomplishing those goals. Once it goes to the budget process, she has a hard time imagining fiscal approval because there is just so little money to spend on new initiatives.

When asked about the outcomes of program review integrated into the planning and budget process, the Academic Senate President stated that any new initiatives based on strategies that have come out of program review would require new money of some sort. Their foundation is one source of money, grants would be another source, and then any state unrestricted funds would also be a source. So if there is money involved in those strategies, that is how it would get into the budget.

An example of continuous improvement of programs stemming from program review outcomes is the creation of the School of Multi-Media Art, which actually brought together several departments that have common themes. Through the program reviews, it was discovered that there were certain redundancies among these departments, and it was more efficient and academically better for the students if these departments cooperated and combined their offerings into a program that is much more coherent.

Vice President Friedlander described program review from the Student Services perspective:

Program review is basically the time when a program, such as Student Support Services, steps back and takes a comprehensive look at what they want to achieve, how well they are achieving it, where they want to go as a program in the immediate or distant future, what are the barriers preventing them from achieving them, and how can they fit within the framework of the college goals and objectives.

Student programs currently use the traditional program review model and cycle. They have the tradition of meeting with their Dean or the Vice President, but with the new integrated structure of Educational Services (Academic Affairs combined with Student Services) Dr. Friedlander is considering revising that process.

In summary, whether the college continues to use the traditional 5-year program review cycle or completely changes to the annual program review model, Santa Barbara City College will utilize salient issues and concerns to provide relevant, credible, accurate, timely, and persuasive information that is beneficial for program improvement and that links program review with planning, institutional decisions, and resource allocation.

Planning

Effective planning depends on information and how effectively it is used.

Norman Uhl (1983) suggested that there are four major phases that must be included in any systematic planning process: (a) the analysis phase, including internal and external environmental scans, assessments, and evaluations, (b) the mission and goals phase, which includes the development or re-examining of a current mission statement with accompanying goals, (c) the objectives and action-plans phase, presenting how the goals will be achieved and measured, and (d) the resource-use, needs-analysis, and expenditure strategies phase, which examines current spending patterns and projects the resource needs for the new plan (pp. 2-3).

Planning at Santa Barbara City College is conducted in a 3-year cycle by the College Planning Council, which is the institution's shared governance committee for planning and resource allocation decisions at the college. They developed the College Plan, which is a living document that is revisited annually and revised as the college adjusts its priorities.

Excerpts from the preamble to the College Plan identify the issues and the intent of the planning process to address quality and continuous improvement in academic and service areas and the intent to use the Plan as the central organizing document for decision making, planning, and budgeting throughout the 3-year planning period.

The College Plan is the result of thoughtful and substantive dialogue involving individuals and groups throughout the college. This dialogue considered all facets of the college within the context of fundamental forces for change that affect higher education and the desire to become a Model Community College, the college has embraced the notion that a Model Community College must undertake change while pursuing such fundamental purposes as student access, student success, quality, planned instruction and services, and workforce development and training. (Santa Barbara City College, 2002a, p. 6)

Some of the most significant internal and external challenges noted during the college planning process, as reflected in the 1999-02 College Plan (Santa Barbara City College, 1999c, p. 4), included (a) increased student diversity in ethnicity, age, lifestyle, learning style, preparation for college, and computer literacy, (b) heightened demand on instructional delivery systems to meet diverse and growing student needs, (c) increased competition in higher education, (d) an increasingly rapid rate of technological change, (e) availability and widespread use of instant global communication, and (f) fundamental changes in the workplace and nature of employment.

The 1999-2002 College Plan (Santa Barbara City College, 1999c) detailed goals and objectives that the college community deemed necessary to improve and sustain a superior level of performance. As a result, the mission and goals are used as the basis for developing measures of institutional effectiveness as presented in the 1999 Report on Comprehensive Accountability System of SBCC (Santa Barbara City College, 1999a).

The college's innovative spirit led to the development of several strategic business alliances during the 2nd year of Project Redesign. "It became clear to the institution that the technology solutions envisioned by project teams could not be achieved without the external expertise and support of technology firms" (Santa Barbara City College, 1998b, Strategic Partners section). These collaborations have benefited the college and their corporate partners by creating win-win situations, especially in the area of information technology and the development of software with broader higher education applications. These strategic partnerships provide leadership, discounted pricing, and technical expertise while SBCC provides an educational testing site (Santa Barbara City College, 1998b).

The whole driving force for the College Plan is student success, so in that sense, everything that goes on in every department is relevant to student success. The college's staff have an overall plan and as the departments are looking at ways of implementing particular parts of the College Plan, they may draw upon their program review results to document needs and develop strategies and objectives for the College Plan. Nelson (1992) stated, "SBCC relies heavily on its extensive, adeptly crafted, and thorough institutional research program as the basis for a powerful strategic planning process that is integrally linked to the delivery of academic and student support services" (p. 119).

On the institutional level, progress on goals and objectives is tracked, and if there is no progress after the first annual evaluation then Dr. Friedlander acknowledges that clearly some action needs to be taken. "If [we] waited until the end of the 3 years to do something, we would be way behind."

On the unit level, the departments utilize their annual program review to develop an annual plan with goals and objectives that are relevant to the college planning document, which is then submitted for the journey through the budget cycle. The College Planning Council, interacting with the Office of Institutional Research, accepts and prioritizes requests for the next year based on how they support the College Plan goals and objectives. Dr. Serban, on unit-level planning, stated,

The unit level is really an emphasis on the annual cycle because while overall institutional goals will not change dramatically within 3 years, for some units, especially vocational units, technology-related units, 1 year can make a big difference.

In summary, Santa Barbara City College has an equitable systematic methodology for looking at things. The results of program review become the basis of departmental input into the College Plan, and under ideal conditions the College Plan is the primary

reference for the formulation of the college budget. The four major phases suggested by Uhl (1983) are evidenced in the planning process at Santa Barbara City College.

Budget

Santa Barbara's overall planning cycle includes the accreditation renewal every 6 years, the College Plan that is done every 3 years, and the budget that is completed annually. The College Planning Council bears the primary governance responsibility for planning, budgeting, district technology, and the development of the College Plan. Because of the dual roles of planning and allocation of resources, the College Plan drives the budget priorities; the College Plan influences everything. Dr. Friedlander, Executive Vice President, said, "A lot of things we do have no budget implications, but if you are going for new resources, then you need to go to the Senate, College Planning Council, and then to the President." He continued, "There is no one process for everything. . . . There are multiple options, [but] it is all in the context of the College Plan."

Like most California community colleges, SBCC receives almost all of its operating budget from the state, and it is very predictable. About 90-95% of SBCC's funding covers salaries and benefits, and the College Planning Council debates how to divide up the remaining 5-10% of the monies. The process is the product, meaning that they talk extensively about a very small amount of money, with the major expenditures (remodels or computer labs) driven by the President and a smaller group providing direction. When planning the budget, they assume that everything they received last year will come again and hopefully with a modest incremental adjustment. Occasionally they get a large lump sum of money or may request funds that are outside the established

funding process such as grants, instructional improvement funds, or funds set aside for some new initiative.

The use of California lottery funds for education is a local college decision, and they can be used as general funds for operation or can be treated as one-time monies for special initiatives. Nelson (1992) observed,

A portion of the SBCC lottery funds is set aside specifically for discretionary funding of new projects. Although resources may be limited, faculty access is perceived as fair and equitable. Allocation of resources in this manner transmits a powerful message to the organization; creativity and innovation will be supported and rewarded with resources. (p. 128)

SBCC primarily uses its lottery funds on salaries and equipment. The Vice President of Business Services, stated, “We try to act like it is not general funds, so we go through a huge amount of meetings saying how we want to spend the dollars, but in reality it is general fund money.” When asked what will happen if lottery monies are no longer available, he shared that the general fund would be smaller and they would do less. “Now what we would do less, I don’t know.”

A third source of state funding for SBCC is the Partnership for Excellence funds. With the state infusion of Partnership for Excellence funds to enhance the college’s operational budget, the College Plan again is the primary reference for allocation of these funds. Another source of funding is the SBCC Foundation. SBCC is fortunate, because it is among the few community colleges that have a well-funded foundation. The Academic Senate President believes that any new initiative that a department might develop based on strategies that come out of program review would require new money of some sort. She stated,

If you don’t have access to outside funds, it becomes this game which is very frustrating. If a department goes through program review, identifies some areas that

they need, those needs have resources attached to them and there is no money. It is kind of frustrating.

The foundation is one source of money, grants would be another source, and then any state unrestricted funds would be a source, so if there is money involved in those strategies, she assumes that is how it would get into their budget.

Bill Hamre, Vice President of Information Resources Systems, believes that over time the organization has the ability to make necessary changes that happen within the budget process through the reallocation of resources and not just always relying on new funds. He stated,

We have had periods of time for 4 years in a row where there is no new money and that is kind of the reason that drove us into the Project Redesign initiative to try and look at how we can do business differently, how we can achieve economies in certain areas and redeploy them to better the institution. It takes a lot of organizational will and openness in leadership to make those kinds of redirections because nobody wants to lose in the end.

Integration of Program Review, Planning, and Budgeting: A Success-Oriented Model

Since MacDougall is committed to student success, the integration process is ultimately focused on how it contributes to student success (Nelson, 1992). The integration of program review, planning, and budgeting processes has been taken seriously by the departments involved. The vice presidents and deans have interfaced with the departments throughout the process and the final report which has resulted in successful follow-up by either the department chairs or the deans working together. Dr. MacDougall recalled incidences where there would be discussions in budget meetings when the rationale would be provided, "This is a primary outcome from the program review and something that we have been seeking to achieve for some time so that we could move ahead on this. It would be important to do it." Nelson (1992) observed that

faculty perceive that access to resources and support for ideas are based on the merit of the idea and/or request. Faculty also believe in thorough preparation and documentation of needs that are presented to faculty committees or the administration. . . . The decision-making process is very open and participatory with a free flow of information among the vice presidents and the deans as well as between the vice presidents and presidents. (p. 121)

The staff believe there is a certain equitable consideration that if something goes through a planning process it is confirmed essentially by the college community as a value that they should be working toward. There is legitimacy that some type of funding might come from it. So there is a bit of reinforcement for program review and planning. Dr. Serban stated,

The budgeting side is the major link between program review and the College Plan. Budgeting has really been through the Partnership for Excellence monies, which have been the only infusion of new monies in a long time. It allows the college to really do a comprehensive sort of bidding process.

As departments submit program review-related proposals for funding, they must show how their project/proposal links or supports the College Plan's goals and objectives as well as meets the criteria of the Partnership for Excellence funds.

Dr. Serban believes that they have made very good progress. But she does not think the integration is necessarily complete. She said, "There is room for improvement, clearly. I am hoping that we move to the annual program review and there will be actually a much better integration because we just started this approach last year." Before it was the 5-year program review approach, and obviously even though the intention was that somehow all programs must have at least one program review available to look at while developing the College Plan, the truth was that many of the program reviews were really too old by the time they reached the development of the College Plan cycle. She continued,

I am thinking that with this annual approach, actual outcomes of the program review will be helpful in the development of the plan because they will be up-to-date rather than an old document that has really been outdated and is not relevant. I think with the annual program reviews, we will be much more integrated and meaningful.

When asked who he thought contributed to the success of the integration, Dr. Friedlander responded that they all have been “chipping at it” for a long time, with Dr. MacDougall obviously the one who has kept the pressure on by wanting to develop a great plan. Also, the members of the College Planning Council, who attended several retreats and summer planning sessions, wanted to develop a plan process that worked. He stated,

I think it has been a nice collaboration between the management, Dr. MacDougall and myself, and the Senate and classified staff. The faculty has advocated for a program review and budget process that was more integrated into our planning decisions. So, it has really been a joint effort over many years, being refined and refined.

When the faculty and staff were asked how they feel about the integration process, Bill Hamre said he feels that the biggest challenge they have faced is not so much in moving specific department program review and resource requirements into the planning and resource ranking process, but taking the overall College Plan and assessing the resource requirements of that College Plan implementation. He stated, “It has worked pretty well on the program review side; I think we have more work to do on the College Plan implementation and making sure we have the right resource requests emanating from the College Plan.”

The Academic Senate President expressed that it is important that whoever is doing program review understands its purpose. They must understand the philosophy behind it, the accountability that is expected, and the limitations that it would have in terms of the outcomes. She stated, “Just because it says in program review that you need

to have a whole new program or a brand new Cadillac doesn't mean you are going to get it." But to the degree that it is integrated in the thinking and the collegial process, there is a greater buy-in and there is a greater reward because of the participation.

When asked what recommendations they had for other institutions that were interested in developing an integrated process, their comments suggested that senior management of the institution needs to sit down, talk about it, and reach a conclusion that this is something that they value and it is something they are committed to do so they have that commitment on the management side. Dr. MacDougall suggested that there is a need to drill down in the organization by talking about it, having the faculty very much involved, and getting their endorsement and approval for it. And then take it seriously. Pay attention to it. Take the program reviews before the Board of Trustees and look for opportunities to reinforce the value of the activity and others will hopefully pick it up.

Three additional recommendations were made for other colleges seeking integration of program review into planning and budgeting:

1. If people don't feel rewarded for their efforts, they will not do it, or they will do it reluctantly and for compliance rather than real change. The leadership must find resources to get the department work done for it to work.
2. Make sure that each of the program review reports has specific implications for college practice and resource requests and that there is a clear channel or process to move those requests from the department level eventually into the overall college decision making for budget priorities.

3. Make sure that the analysis and measures that are part of the program review process are as streamlined as possible and really focused to identify key questions that are put forward to departments as we enter the program review activity.

Dr. MacDougall has a vision for a greater level of success for the integration process. He suggested that the integration has not been nearly as successful as he would hope, but said that in the past few years they have gotten better in terms of tying in budget to the College Plan. He stated,

I think we have done a reasonably good job of getting program review into the College Plan. . . . Partnership for Excellence has really helped us to move ahead. . . . There has been a sense that there is a connection between planning and budgeting as a result of that. The outcome will have an incredible impact on individuals and on our community. . . . So I think it is the right and responsible thing to do, and we try to do it as well as we can.

Visual Representations

The data collection process at Santa Barbara City College included interviews and focus groups with each participant administrator, faculty, staff, and student asked to draw a visual representation (picture, diagram, or flow chart) describing their perceptions of how the integrated management process worked. The drawings were analyzed to ascertain if the participants included (a) the elements of the process, (b) the relationship of the elements to one another in the process, and (c) their understanding of the process.

All of the drawings were different from one another. Of the five administrators who were able to provide a drawing, three were linear and two were circular in nature. The relationship of the process elements was indicated by single and/or recursive arrows, or the elements were aligned next to each other showing a direct flow and connectivity. Four of the five administrators identified the College Plan with its goals and objectives as the originating or filtering element for program review outcomes in the integration

process. All identified the College Planning Council as the primary body that receives and integrates departmental and institutional requests with the college planning process and budget priorities and then recommends allocations to the President. There was a strong awareness of both the traditional and the modified annual program review processes.

The faculty drawings gave a clear understanding of and greater emphasis to the annual program review process. Several process elements were not shown. Faculty indicated the College Plan as the element used to integrate the departmental yearly plans, requests, and initiatives with the budget process and funding. Only one included the College Planning Council. Student drawings portrayed the process as a way to address their initiatives or concerns. From the drawings it was determined that there are similar traditional processes for both academic and student services program review, and the modified annual review is primarily for academic departments. Figure 3 shows a sample drawing, by a faculty member in the faculty focus group, consisting of a pentagon with five smiling faces and recursive arrows between and across with no text. This was interpreted as implying collaboration, the recursive nature of the processes, and satisfaction with the overall process.

The one element of the integrated process that was discussed and valued in interviews and focus groups was the Office of Institutional Assessment, Research, and Planning, yet it was included on only two drawings. This office appears to be transparent and embedded across the processes, providing trusted, useful, and available information for integrated decision making.

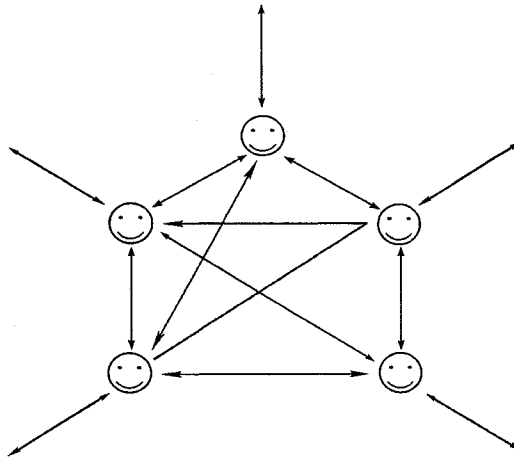


Figure 3. Santa Barbara City College faculty drawing of the integration process.

Through the Educational Programs Division, both Academic and Student Services departments complete program reviews. The Office of Institutional Assessment, Research, and Planning provides both service areas with comprehensive information in support of the program review and the evaluation of departmental and program progress. This information is used to make adjustments and changes to existing programs and possibly to suggest the need for new programs. The Executive Vice President of Educational Programs is moving from the traditional 5-year program review cycle to annual departmental reviews and plans. This allows the programs to be responsive to student needs as well as internal and external forces of the college. Figure 4 shows a diagram of both the Academic and Student Services program review processes (traditional and annual) and the integration of these areas through the Office of Educational Programs.

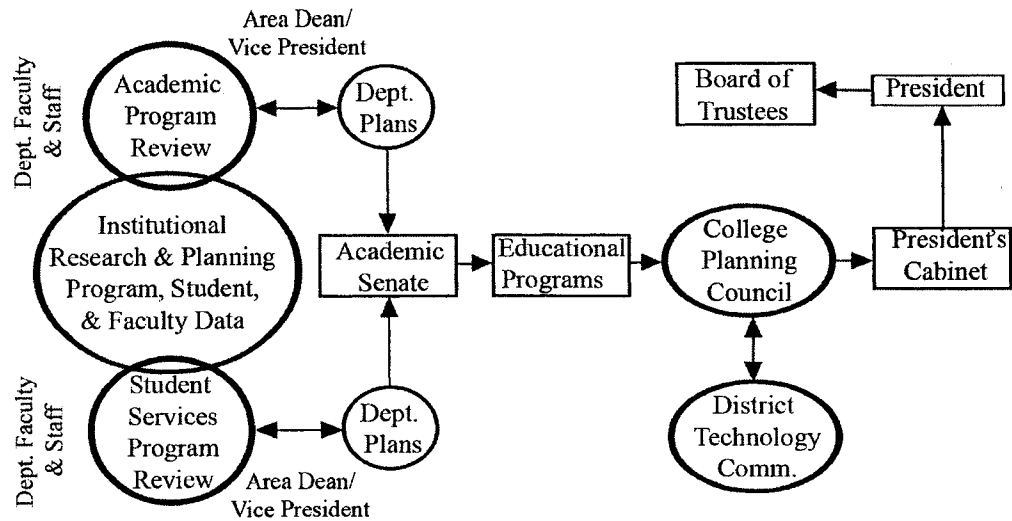


Figure 4. Santa Barbara City College's educational programs integration process model for program review, planning, and budgeting.

Department faculty, chairs, area deans, and advisory committees collaborate to develop the annual department plan, which addresses departmental progress toward goals and objectives, faculty needs, support for on-going programs, and new initiatives. The plan also describes how it is contributing to the accomplishment of the college's goals and objectives. The departmental plan is discussed with the Executive Vice President to determine feasibility, level of support, and timeline for implementation. The departmental plans are forwarded to and reviewed by the Academic Senate and then sent to the Office of Educational Programs, where the departmental plans are recommended to the College Planning Council for review, integration into the College Plan, and resource decisions relative to funding priorities. The District Technology Committee regularly attends the College Planning Council meetings to ensure that all technology-related planning is integrated with other college-wide priorities and with financial planning.

“The operational responsibility for the integration of educational, financial, physical, and human resources planning rests with the College Cabinet, composed of the President and the Vice Presidents” (Santa Barbara City College, 2002b, p. 31). New major initiatives introduced during the academic year are brought to the College Planning Council for review and the information provided is taken in consideration into the final development of the initiative. All initiatives are coordinated in the College Cabinet. The College President then recommends the College Plan, additional initiatives, and the annual budgets to the Board of Trustees.

Summary

Santa Barbara City College’s reputation of being one of the exceptional colleges in the California community college system is grounded not only in the beauty of its location but in its dynamic people, programs, and processes designed to make it a quality institution. The college has a tradition of stability, awareness of its political, social, and economic environment, and flexibility to adjust to internal and external forces for change. The college has embedded a culture of openness, trust, and evidence that supports institutional planning processes and sound decision making. Because of these factors, the college was able to engage in two experimental self-study processes from 1994-2005. First was Project Redesign—a comprehensive re-engineering of the college’s services that has changed delivery of some educational programs as well as how the college conducts its business and service functions. Project Redesign served as the catalyst and foundation for the second experimental process, the concept of a Model Community College, which guides the college’s goals, operations, and processes. This institutional culture provides the environment for the management processes of program review,

strategic planning, and budgeting to be integrated and further supports their institutional effectiveness.

As in all colleges, the program review process at Santa Barbara City College is the result of evolutionary trial and error and a desire to streamline the process to make it more effective, yet efficient. The departmental faculty and area leadership develop annual department plans that are designed to support not only their programs but the mission, goals, and objectives of the college. The College Planning Council conducts both the planning and budgeting functions, including the development of the College Plan, and recommends this plan and allocation of resources to the President. These shared decision-making processes are based on the concepts of shared governance, systematic comprehensive assessment, data-driven decisions, and effective communication, which produces a dynamic organization that has trust in its leadership.

CHAPTER 5

CROSS-CASE ANALYSIS—INTEGRATION

Introduction

A systematic institutional effectiveness process encourages the linking of assessment and evaluation (institutional and program review), planning, and budgeting in higher education (Barak & Breier, 1990; Barak & Sweeney, 1995; Brandt, 1998; Braswell & May, 2000). College and university presidents have long identified the integration of program review outcomes into institutional program planning and budgeting processes as a management priority (Patrick & Caruthers, 1979). The questions remain, What does the integration of program review outcomes linked to strategic planning and budgeting look like? How does it happen? Who is responsible? This chapter answers my first research question, How is program review being integrated into the institutional strategic planning and budgeting processes? It describes the analysis of the history, leadership, and educational management processes, as well as the integration processes, for MiraCosta College and Santa Barbara City College, to provide a better understanding of institutional effectiveness and to answer my research questions.

History

Early California community colleges, whether established as extensions to area high schools for local access to post-secondary education or to address the economic hardships of the Great Depression, have served as connectors to 4-year colleges and/or

the workplace. Both MiraCosta College, established in 1934, and Santa Barbara City College, established in 1909, have continued to provide this conduit as a result of maintaining a commitment to their mission of collegiality, quality, continuous improvement, and student success.

Through the baby boom of the 1950s and other periods of accelerated enrollment, these colleges and their communities have had the will and the capacity to grow in size, facilities, and program offerings. MiraCosta is considered a mid-size community college serving over 10,000 students, while Santa Barbara is a considerably larger institution, serving approximately 13,000 full-time students and over 42,500 non-credit continuing education students. Both colleges have responded and adjusted to increased changes in student populations, including part-time students, older students, returning men and women, ethnic minorities, students with disabilities, and international students, which reflects the changing demographics and diversity of the state and their local service areas.

Utilizing the *College Master Plan* (MiraCosta College, 1997d), gradual but extensive expansion through remodeling of established facilities, the construction of new buildings, and the addition of a new campus and off-campus sites enabled MiraCosta College to meet the physical needs of students. Expansion of the curriculum and new viable program offerings met the academic needs of burgeoning enrollment. Santa Barbara's physical needs were met similarly, and in addition, they also built an extensive non-credit curriculum that serves approximately one-third of their service area population. In the mid-90s, Project Redesign was initiated to meet their most current concerns of instructional design and delivery and technological infrastructure, as well as

efficiency and effectiveness in the area of information systems and web capabilities for business management functions.

Management Models

There is a need to identify the most appropriate model that will achieve an institution's vision and goals yet function within the institutional culture of an organization—that is, how to understand work and take action (Bryson, 2004; Crossan, Lane, & White, 1999; Senge, 1990). Peter Drucker's (1995) theory of business stated that "successful organizations are clear about the environment in which they operate, have a specific mission, and understand what it takes to fulfill that mission" (p. 29). The use of theory-based management models by both college presidents in this study suggests their recognition of a need for a conceptual framework, a "theory of the college," to (a) clarify patterns for their organization that help leaders do their work better and (b) to identify the changes they are likely to face as they shape the future.

There are overriding "big picture" ideas that have driven the integration process at both colleges. At MiraCosta it was the idea of an open process based on the mental model of open book management, with open data, data-driven shared decision making, and service to the community. Also, the Vice President of Business Administration came with a background in total quality management, which he embedded into the college as he organized and led the planning process. Santa Barbara's engine at the time of this study was the need to revise or restructure the operational systems to address decision making related to changing environment, emerging technology, changing demographics, competing institutions, and continuous improvement for student success. Both of these quality management models were identified and implemented by the colleges to improve

their internal organization and operations, which would enable them to provide quality education and services to their students and communities.

The core value of the quality movement was to meet and satisfy the customer's expectations. The concept of quality was not only to be applied to the products but to the soul of the organization; it would become the organization's "strategic advantage" and the organization's culture (Peterson & Dill, 1997; Seymour, 1992). There was an "urgent need for organizational forms that were leaner, flatter, more focused, more quick-footed, and more humane" (Marchese, 1997, p. 503).

Of the many business continuous improvement methods, total quality management (TQM) and business process reengineering (BPR) have been most recognized as successful and later deemed as business management fads (Birnbbaum, 2000; Hammer, 1996). These two frameworks represent the incremental and radical approaches to process modification and are discussed in the following sections followed by a description of how the management models are evidenced in the two cases.

Quality Movement

The modern "quality movement" was based on the contributions of three management gurus: W. E. Deming, Joseph Juran, and Philip Crosby. W. Edwards Deming's philosophy is based on an all-encompassing concept of process improvement, continuous improvement based on data (knowledge), and an understanding of process variation, combined in an environment in which teamwork rather than competition prevails (Evans, 2005; Freed & Klugman, 1997). Joseph Juran's philosophy was that employees must be involved in teams, managers must listen to and help employees identify and prioritize processes and systems that need improvement, and, finally,

managers must provide recognition to the whole team when the project is complete (Evans, 2005; Freed & Klugman, 1997; Juran, 1995). “Juran’s prescription focused on three major aspects of quality called the Quality Trilogy: quality planning, quality control and quality improvement” (Evans, 2005, p. 29). The foundation of Philip Crosby’s philosophy is the concept that zero defects is the only satisfactory performance standard. He contended that organizations must do the right thing the first time and not depend upon inspection to find problems (Crosby, 1995; Evans, 2005; Freed & Klugman, 1997).

Crosby’s position is that human error is caused not by the lack of knowledge but rather inattention. Deming and Juran would argue “that it is pointless, if not hypocritical, to exhort a line worker to produce perfection” (Evans, 2005, p. 31), because the largest number of imperfections are caused by poorly designed systems beyond the individual employee’s control. Crosby’s concepts were behavioral and were focused on management and organizational processes for changing the organization’s culture and attitudes (Evans, 2005).

Evans (2005) stated, “The philosophies of Deming, Juran, and Crosby addressed management deficiencies of the times and laid the foundation for the principles of modern quality management” (p. 31). The adoption of a total quality philosophy was a new way of thinking rather than a new paradigm. Total quality “captured many aspects of established models and amplified them through a useful methodology” (Evans, 2005, p. 45). Total quality provided a broader definition of quality and works best in a horizontal open system environment where managers are viewed as leaders with vision and employee roles are expanded. Total quality emphasizes continuous improvement rather than stability (Evans, 2005).

The U.S. Navy coined the phrase “total quality management.” Although around since the 1950s, TQM was embraced by corporate America during the mid-1980s and has been described as a long-term incremental change process that is driven by a dedication to excellence, that declares the philosophy and goals of an organization, and that explains how they are related (Coate, 1991; Marchese, 1997). TQM sought to improve the systems through systematic analysis emphasizing quality (meeting and exceeding the consumer’s expectations) and the relentless pursuit of continuous improvement.

While there were TQM success stories such as Motorola, with champions, supporters, and researchers such as Schmidt and Finnigan (1992), Melissarato and Arendt (1995), and Marchese (1997), by the early 1990s corporate skeptics and critics began to call TQM a management fad that was a “waste of time” and “harmful to organizations” (Shapiro, 1995, p. 174). The backlash began with complaints regarding the amount of paperwork and bureaucracy. Brigham (1993) stated that “in more cases than not, TQM, the approach of eliminating errors that increase costs and reduce customer satisfaction, promised more than it could deliver and spawned mini-bureaucracies charged with putting it into action” (p. 47).

Although the term TQM has virtually disappeared in higher education’s vocabulary, the basic principles of quality management are recognized as the foundation of high-performance management systems and remain an important factor for maintaining a competitive advantage. “Quality of management” is as important as the “management of quality” (Evans, 2005, p. 9).

Evans (2005) implied that the reasons for failure of quality initiatives are rooted in organizational approaches and systems. He quoted a former editor of *Quality Digest*:

“No, TQM isn’t dead. TQM failures just prove that bad management is still alive and kicking” (Evans, 2005). Evans (2005) continued, “The most successful organizations have found that the fundamental principles of total quality are essential to effective management practice, and continue to represent a sound approach for achieving success” (p. 9).

Total quality management, or continuous quality improvement (CQI) as it is otherwise known in higher education, had its beginnings in the private business sector and has over time been applied to administrative workings, especially in postsecondary education. Peterson and Dill’s (1997) discussion in *Planning and Management for a Changing Environment* on understanding the postsecondary knowledge industry describes CQI:

Unlike the more educationally focused notions of quality, this approach suggests a comprehensive emphasis on developing an institutional culture and stresses policies and practices promoting (1) an environment of continuous improvement, (2) customer or client driven centeredness, (3) a rational approach to decision-making using intensive measuring and benchmarking, (4) a focus on the process design, (5) collaboration and teamwork, and individual empowerment. (Such a comprehensive approach promises to clash with strong traditions of academic individualism when applied to academic areas.) (p. 15)

Marchese (1997) suggested that “continuous improvement implies never-ending need for organizational learning” where the organization is always asking the question, “How can we get smarter and better at what we do?” (p. 506). Deming (1986) and Peter Senge (1990) felt that the tools and processes of CQI have the ability to contribute to organizational learning. Academic institutions that participate in CQI want “leaders of a new type: vision-givers, listeners, coaches, team workers themselves; committed to quality and customer needs; avid but patient for long-term ends; orchestrators and enablers of people driven improvement” (Marchese, 1997, p. 508). Marchese advocated

that CQI is a total organizational philosophy, not a bite-size bag of methods and techniques. It follows that academic leaders in search of excellence and quality should choose to concentrate on the “core ideas of quality—teamwork, data service and process improvement, teaching and learning, curricula and departments, . . . technology and restructuring” (p. 516).

Business Process Reengineering

As TQM began to wane, a more radical approach to quality improvement emerged—Hammer and Champy’s theory of reengineering, also known as business process reengineering (BPR). These two academics proposed that companies need to look at all their processes and redesign them from scratch. It was the consultant’s reply to the failure of TQM to solve corporate America’s problems (Birnbaum, 2000).

Hammer and Champy (1993) defined reengineering as “the fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical contemporary measures of performance, such as cost, quality, service, and speed” (p. 32). McCoy (1996) defined reengineering as “an introspective process that is a key part of the alignment process an organization goes through as it moves from a closed environment to an open environment” (p. 37). The key word in both definitions of reengineering is “process”: a complete end-to-end set of activities that together create values for a customer, thus moving the organization from being task oriented to process oriented—the difference between part and whole (Hammer, 1996). Process centering is the basic rethinking of how the organization operates. “It permeates every aspect of the business: how people see themselves and their jobs, how they are assessed and paid, what

managers do, the definition of the business, and ultimately, the shape of the societies that depend on these organizations” (Hammer, 1996, p. 17).

The reengineering process asks these basic questions of the business processes: Why do we do it? and Why is it done this way? Evans (2005) stated, “Reengineering is used when the improvements needed are so great that incremental changes to operations will not get the job done” (p. 13).

When describing the power and value of reengineering, McCoy (1996) stated,

Reengineering can range from the simplification and strengthening of processes to a complete redesign for the overall process. On the surface, the goal is to streamline planning and execution to a minimum and eliminate paperwork and delay. . . . However for an open organization the key benefit that develops from reengineering is the understanding of the interdependencies between processes. (p. 37)

Tierney (1999) believed that reengineering was the engine that would drive colleges and universities into high performance as the process helped them rethink their organizations, challenge the status quo, and redeploy their resources. He stated, “Reengineering means making implicit values explicit and challenging cherished notions of ‘how we do things around here’” (p. 26). Organizations looking for dramatic change need a vision of what they want to achieve. He continued, “It does not come by tinkering with systems that are already in place; it comes by fundamentally rethinking the enterprise and suggesting alternative notions not of what is, but of what might be” (p. 26). Leaders who engage in reengineering are not “incrementalists, they are visionaries with large goals” (p. 26) and a desire for significant institutional improvement.

Reed (1999) countered that the “character of educational institutions requires a different approach to leading and planning” (p. 32). He stated that it is “difficult to accomplish radical redesign in a higher education setting because there is simply too

much resistance to change; power and loyalty dispersed in departments and subunits” (p. 32). He continued, “It is difficult to get system-wide acceptance on anything let alone a reengineering effort in a loosely coupled structure” (p. 32).

Tierney (1999) stated that reengineering is not TQM—it seeks “dramatic changes through comprehensive restructuring, not by improving what is already in place.”

Reengineering does not overlook or destroy an organization’s culture—cultures are dynamic, not static. “Reengineering brings organizational culture into focus” (p. 27) as it remains viable and vibrant. Reengineering is not a quick fix—“It is not a cure all that will turn around the organization” (p. 27). Quick fixes in higher education have been failures and insignificant fads. “Reengineering is a way of seeing and acting in a way that is dramatically different, and it will take time to achieve” (Tierney, 1999, p. 27).

The benefits of reengineering are the encouragement of teamwork, individual accountability for those who can handle freedom and responsibility in the workplace, a flatter organization that requires increased skills and competency, and greater openness at all levels, particularly with financial information. Reengineering is a way to improve quality of service and speed and to reduce labor costs, but, in actuality for some, reengineering did not work as promised; it became a way to reduce labor and negatively effect employee morale (Birnbaum, 2000; Marchese, 1997). Hammer and Champy (1993) acknowledged that up to 70% of the organizations that attempted reengineering did not achieve the dramatic results expected. Business process reengineering is considered one of the shortest-lived management theories (1990-1996) because its founders forgot about the people in the process (Birnbaum, 2000; McCoy, 1996).

McCoy (1996) countered that business process reengineering is not about downsizing, although that may be an outcome, but “high-involvement/high performance companies place special emphasis on programs that minimize the impact of this on the employee population. They make exceptional efforts to walk the talk of treating their educated and empowered employees like valued assets” (p. 37). A people-oriented reengineering method fosters openness and understanding of interdependencies in the management decision-making processes.

Application of Management Models in Cases

Forward-thinking organizations have initiated efforts to involve their employees more fully in management processes. Methods such as quality circles and management by business process re-engineering (BPR—lean thinking), among others, have been implemented, yet the results seem to fall short of the expected outcomes (McCoy, 1996). Each of these techniques is a stand-alone program that “addresses a specific set of circumstances and performance issues” (McCoy, 1996, p. 2). These methods have focused on the “how” of business operations, but open book management as practiced at MiraCosta College focuses on the “why” of business operations—the logic of the business (Case, 1998), while at Santa Barbara City College business process engineering was used for operational improvement and the beginnings of a knowledge management model.

At MiraCosta College the leadership team, primarily the President and Vice President of Business Administration through a collaborative management model, has blended the “how” and the “why” through the complementary use of TQM and open book management—full financial and data disclosure. When this leadership team first

tried to introduce these concepts, it was difficult because the faculty and staff were not accustomed to a shared information process, especially for developing the budget. But, with time and consistent actions on the part of the leaders, there has been greater participation and belief in the process. The leadership team has perpetuated an institutional culture that supports partnerships with faculty, staff, and their representative organizations through a shared governance structure utilizing participative analysis and decision-making, which has added the elements of sharing and openness, thus creating trust. Thomas McCoy, in his 1996 book *Creating an "Open Book" Organization*, stated,

In order to create an environment in which all employees view themselves as partners, it is necessary to open the organization. It is necessary to release the old styles of command and control and embrace the concepts of sharing: sharing information, sharing education, sharing responsibility, and sharing rewards. The outcome is an open, educated, partner oriented, high-involvement/high performance company. . . . Employees become partners who possess the desire and capacity to contribute to the success of the business. (p. 5)

Moving to an open organization requires the sharing of information, and having information is perceived as power or powerful. The opening or sharing of information by management is therefore perceived as a loss of power, authority, and control as the decision-making process becomes more inclusive. McCoy (1996) stated, "In actuality, authority is not relinquished. Instead it changes from a dictatorial form to a leadership form. An autocratic style of management has the least amount of control because of the misunderstanding and time gaps that exist between executive decisions and the customer" (p. 27). A partnership between management, faculty, staff, and students, based on a defined and accurate set of values with educated and empowered participants, will increase high-quality decision making and build an organizational culture of openness and trust among its stakeholders (McCoy, 1996; Zimpher, Percy, & Brukardt, 2002).

The development of an open environment as the foundation of MiraCosta's management philosophy implies access—"access to information, to skill development, to social interaction, to authority" (McCoy, 1996, p. 12). It is a result of the "application of mutual perspective in the policy-making process" (p. 12), or seeing the proffered outcome from the other person's point of view.

An open environment results in flexibility and increased innovation, teamwork is strengthened through the development of interpersonal relationships, and morale and attitudes are improved due to an advanced level of understanding (Jennings, 2002; McCoy, 1996). "The alchemy of open environments has transformed information from a precious collection of facts, safely hidden in a vault, into life-sustaining nourishment coursing throughout the communication channels of an organization" (McCoy, 1996, p. 64).

An open organization exists when each employee understands what the organization must do to be successful and what their role is in achieving that success. They are involved in the planning, problem-solving, and decision-making processes. Many of the indicators of an open organization can be seen at MiraCosta College and validated by the management processes of program review, planning, and budget, as well as the institutional culture of shared governance, an embedded information-rich environment, high accountability, and flexibility, all leading to trust as evidenced in chapter 3.

Keller (2000) stated, "Each institution approaches the formulation of their strategy in a different manner" (p. 163). Santa Barbara City College's leadership team successfully used business process reengineering (BPR) as a tool to leverage

improvements in four specific segments of their organization: instructional design development and delivery, technological infrastructure, conversion of information systems, and development of web capabilities. They knew that the status quo was more dangerous than the unknown.

Through the use of teams they challenged their very purpose for existence and their preferred future, and developed a clear understanding of what they needed to do for successful implementation of the outcomes and to achieve their vision of becoming a model community college for the 21st century. These teams researched and analyzed how the major processes of the college, such as admissions, student financial aid, and instructional programs, were conducted. Then they determined if technology could be used to conduct their work differently and more effectively. They wanted to offer on-line registration, analyze and change staffing patterns, and offer on-line courses to reduce the demand for more classrooms. They wanted to retain their competitive edge in a changing environment (Chaffee & Jacobson, 1997; Evans, 2005; Jennings, 2002; Kotter, 1995; McCoy, 1996).

Through BPR and focusing on their “customers,” they began to share and synchronize the operational and support functions and “integrate, link and streamline the process flow” as well as “communicate across all functional boundaries” (McCoy, 1996, p. 22). They developed internal and external partnerships to enhance their electronic and technological capabilities. This “culture of change” was using the BPR tool to move the college towards the evolving “knowledge management process model used for knowledge capture, creation, distribution, and sharing” (Gupta & Sharma, 2004, p. 5). This emerging interdisciplinary business model is an audit of “intellectual assets” that

deals with “knowledge creation, codification, sharing to promote learning and innovation” (p. 3), which in turn is used for “learning, problem solving, and decision making” (p. 5). Knowledge management, like open book management, “enhances other organizational initiatives such as total quality management, business process re-engineering, and organizational learning, providing a new and urgent focus to sustain competitive position” (p. 5).

Although it was not verbally espoused, it appeared to me that Santa Barbara’s leadership team also engages in an open environment with an institutional culture of shared vision, shared governance, information-rich environment, assessment/accountability and communication that generates openness and trust, as evidenced in chapter 4.

The rationale for introducing quality management theories to higher education was the need to remain competitive in a changing environment and to increase customer satisfaction (Birnbaum, 2000). Seymour (1992) stated, “The challenges that face higher education today and in the near future require a new set of philosophies and methods. Our work environment is in a continual state of flux. Many of the operating assumptions of the past simply don’t apply now” (p. 24). Seymour continued, “Developing a lot of happy, satisfied customers—whether they are students, parents of students, alumni, professors, or industry employers—should be a primary goal of causing quality in higher education” (p. 42).

In general, these forays into management systems by higher education have proven to be challenging and mostly unsuccessful, because it is difficult to impose such comprehensive and complex business models in their entirety on top of academic

institutions. Birnbaum (2000) stated, “Compatibility can be affected by even such a simple thing as an innovation’s name. TQM, for example, was renamed CQI (Continuous Quality Improvement) in higher education to avoid the use of the words *total* and *management*” (p. 157). A disconnect frequently exists between the definition and philosophy of the management system and the values and purpose of the academic institution. The academic culture inhibits wholesale dismantling of institutional history, values, relationships, and traditions of academic individualism.

However, the era of the individual is over—whether in business or academics, “success comes to those who can develop the most effective partnerships” (McCoy, 1996, p. 10). Gupta and Sharma (2004) stated, “The New Wealth of Organizations is total quality management, re-engineering, and intellectual capital, and the companies that will succeed in the 21st century are those that master the knowledge agenda” (p. 2).

Summary

There has never been any one business management system that has addressed all higher education goals equally. Each system requires customization to accommodate the culture of the organization. MiraCosta College’s use of TQM overlaid with open book management, on a foundation of stability and support from leadership, the cooperation of key constituent stakeholders, and a commitment to collaborative decision making, enables the college to experience an institutionally effective theory-based methodology for organizational success.

Santa Barbara City College has concentrated its efforts on a modified reengineering methodology through process improvement utilizing teamwork, data-informed decisions, and the desire for student success and institutional effectiveness.

SBCC has incorporated the college's constituent groups at all levels of planning and has stayed focused on the value of people. The college has been able to implement innovative changes in planning as a supplement to management because its management has remained relatively stable and because of its institutional culture of collaboration, trust, and openness.

Both colleges appear to apply mutual perspectives and successful partnering with the fundamental management theories and techniques of the new economy. Institutions that want to successfully compete use processes that leverage improvement throughout the institution. They question their purpose, and they select a change process while understanding the effort and resources required for its success.

Integrated Process

“It is not the products but the processes that create . . . long-term success” (Hammer & Champy, 1993, p. 25). In the development and implementation of their planning processes, both colleges have some level of integration. Each college has a program review process that enables the instructional and student services divisions to attend to disciplines and programs. Also, both colleges have linked their planning and budgeting processes and, by having those functions handled by a single committee or council, have limited the disconnect between the two functions. Additionally, with the results of program review embedded in the development of unit, divisional, and institutional action plans, the planning and budgeting process becomes the “integration team” of the college and, through the funding of the college strategic plan, integration occurs.

Both college presidents alluded to the fact that they are not as far along in the integration process as they would prefer. Dr. Dong used the metaphor of the horse and cart, in which he now feels that instead of the horse being behind the cart, the horse and cart are next to each other. President MacDougall stated that “our success is not as great as it should be, frankly.” The integration is not as successful as he had hoped, but in the past few years they have done a “reasonably good job of getting program review into the College Plan and gotten better in terms of tying in the budget to the College Plan.”

The literature supports the concept that appropriate integration of program review, strategic planning, and budgeting will enable an institution to more efficiently and effectively reach its goals and objectives (Mets, 1997; Spencer, 1995). The literature also indicates that the coordination and integration of the three management processes is minimal and restricts effective and efficient planning (Barak & Sweeney, 1995; Hoey, 1995b; Mets, 1995a, 1995b; Wroblewski, 1995). Therefore, two significant research questions emerge for discussion: At colleges where integration takes place, How is program review being integrated into the institutional strategic and budget processes? and What are the critical components in a successful integrated process for institutional effectiveness? This section first synthesizes from the research literature and the case studies insightful perspectives of how each of the three management processes of program review, planning, and budgeting work and second, how these individual processes are connected and implemented at each of the case study colleges. Connections to strategic planning and budgeting will be discussed together because both colleges have joined these two processes for effective institutional planning and decision

making. Each section starts with a found poem that uses the words of the study participants to capture the essence of that particular section

Program Review

Evaluation

Traditional—annual

People are busy

Too much paperwork

Qualitative and quantitative

Capitalize on brainpower

Ask the questions

What are we capable of?

What direction should we take?

What is our clientele looking for?

What can we provide?

Fix things that aren't working

Sense of community

Sense of connectivity

Sense of purpose

Meaningful work

Relevant

Credible, accurate

Timely

Persuasive

Continuous improvement

Quality programs and services

Student learning

Improved Institutional Effectiveness

The program review process does not occur in a vacuum; it represents one element of the overall institutional planning process that provides useful information for improved decision making. It identifies institutional priorities for funding and resource needs and it increases involvement and commitment of faculty, staff, and administrators. The literature is knowledgeable regarding the program review process and how it can inform planning; however, the literature is still evolving regarding how program review

relates to the other institutional decision-making processes such as strategic planning and budgeting (Barak & Breier, 1990; Barak & Sweeney, 1995; Mets, 1995a; Spencer, 1995). Kells (1989) and Mets (1995a) agree that if program review is not fully integrated into the planning system, then its full potential cannot be realized. The response to my first research question will describe how program review is being integrated in the institutional strategic planning and budget process at MiraCosta College and Santa Barbara City College.

Program review is the systematic and periodic application of evaluation techniques to an institution and its programs. In response to the accountability movement, program review, once applied predominately to academic programs, is now more comprehensively applied to all programs including administrative and student services at all levels to determine their effectiveness.

The commonly stated objectives of program review are to (a) increase the involvement of programs/units in assessing their program objectives and activities in relation to the institutional mission and goals, (b) collect data relevant to the programs/units, and (c) evaluate the use of human resources, money, and facilities needed to operate the program. Also, program review is to function in a central role in the planning process and provide a rationale for recommendations used in developing allocations and operating budgets (Barak & Sweeney, 1995).

As the process is institutionalized, the organization becomes more efficient in conducting program review, refining the data elements, streamlining the process, and sharing the results. The program review process consequently evolves and becomes a means for improving efficiency and effectiveness in higher education. Thus, "coupled

with an active strategic planning process, institutions can map their futures in ways that will ensure their continued growth and development” (Barak & Breier, 1990, p. 127).

Barak and Breier (1990) asserted that “program review contributes to an institution’s overall improvement and accountability” (p. 12). Program review, while useful in identifying academic and institutional strengths and weaknesses, can make numerous other contributions to a strategic planning process. It can also define the institution’s mission and identify institutional priorities, assist in resource and budget allocations and/or reallocations, and aid in assessing the institution’s competitive edge and overall institutional quality and effectiveness (Barak & Breier, 1990).

Spencer (1995) wrote that the ideal model of program review is (a) flexible and open to accommodate the unique perspectives and concerns of the faculty and students of each program, (b) orderly and scheduled to allow for frequent review, (c) formative in nature so as to result in systematic improvement in programs, (d) designed to assess program needs as a basis for resource allocation, and (e) a tool for curriculum and staff development (Spencer, 1995, p. 28).

In summary, the cited literature provides evidence that much time and effort has been given to the development and refinement of program review processes over the last 25-30 years. Much of this same literature states that the program review process can provide significant data that assist educational institutions in assessing program goals, objectives, and outcomes and their contribution to the institution. Traditionally, these outcomes have been limited to recommendations and decisions related to the local program and have not informed the long-term planning and decision-making processes.

Connections to Cases

California community colleges are required to perform program review on a 6-year cycle. MiraCosta and SBCC have met this requirement but have at least two major operational differences. First is the timing of their review cycle; MiraCosta has chosen a traditional schedule with several opportunities for in-depth reviews during the accreditation cycle, while Santa Barbara has chosen a continuous annual review process. This “timing” affects the second major operational difference—the types of data collected and how and when these data are collected—which then determines how soon issues and concerns will be addressed. The major similarity between both colleges is that the effectiveness data are open and accessible to departments on the colleges’ institutional research websites.

MiraCosta has replaced a 3-year program review cycle with an in-depth 6-year cycle with the expectation that each program will be reviewed within the accreditation cycle period. The 6-year cycle is divided into three phases. Phase I is a brief annual review that consists of the program’s last 6 years of data on total full-time equivalent students (FTES), cost/FTES, rates of successful retention, and enrollments. The department chair, with substantial input from faculty and staff, submits this data review with comments to the area dean and sends a copy to the appropriate vice president. Phase II occurs at the mid-point of the cycle (3 years), when a recertification package is submitted by each discipline. In addition to the data required for the Phase I annual review, curriculum and library collections are reviewed along with interim responses to any recommendations from the previous 6-year report. Phase III occurs at the 6th year, and a more comprehensive report is completed covering the first three criteria in the mid-cycle recertification plus seven additional criteria as mentioned in chapter 3. These

reports are submitted by the department chair to the dean and forwarded to the appropriate vice president. The Academic Policies and Procedures committee evaluates the program review documents in relation to the program's effectiveness and efficiency. The findings are presented to the Academic Senate and the college President. The Vice President of Instruction and the Academic Senate President or the Vice President of Student Services presents the results to the Board of Trustees (MiraCosta College, 2003). The program review recommendations are forwarded to the planning and budget consultation group to be considered in future planning.

At the time of data collection for this study, Santa Barbara City College had two program review processes in place. First was the traditional 5-year process where 20% of instructional programs and student services operational units were subject to an extensive review process similar to that of MiraCosta. The second process was a pilot of a modified annual program review that had been streamlined, and it was hoped to increase the alacrity and flexibility to respond to change as needed.

The pilot consisted of the Executive Vice President of Educational Services meeting annually with the division deans and departmental faculty to review the yearly accomplishments and plan the future goals and objectives for the program based on the College Plan. The resulting data were linked and measured against the college mission and the College Plan. After analysis of the outcomes, approved requests and/or new proposals were forwarded to the planning and budget process for prioritization in the next operating budget cycle(s), or the search for additional funding sources ensued. This required a major commitment of time each spring by the Executive Vice President of Educational Services. The greatest concern regarding the annual review process was the

quality of curriculum review that is more commonly addressed in the comprehensive program review processes. At the last college accreditation visit, in October 2002, it was noted that the college had implemented the annual review cycle.

An attractive characteristic of program review is its ability to be linked to the mission and vision and other regular management functions. According to Mets (1997), “This process *is* budgeting, planning and assessment” and can guide all other decision making within the institution (p. 354). The program review’s value is “judged by the use or non-use of the results” (Barak & Breier, 1990, p. 9). When program review results are integrated into the decision-making processes and not considered an add-on function, the outcomes of program review can lead to the setting of priorities and resource allocation in order to achieve continuous improvement.

Results from program review can provide the data necessary for departmental and college goal setting, planning, organizing, budgeting, and various decision-making activities (Barak & Breier, 1990; Mets, 1998; Spencer, 1995; Wynn & Guditus, 1984). In addition to the required quantitative institutional effectiveness data, such as student enrollment, completion or non-completion, student-teacher ratios, faculty ratios (full-time to part-time) and cost-benefit factors, programs frequently collect data through surveys of students, alumni, faculty, and local labor markets through advisory committees.

At both colleges, faculty, administration, and staff talked about changes that resulted from program reviews such as the following:

1. Revisions to the process itself have made it more streamlined and focused on the core quantitative data and student learning outcomes.

2. In response to community health needs, new Allied Health programs have emerged from a single nursing program at MiraCosta. At SBCC, the School of Multi-Media Art has emerged from several departments that have a common theme and were experiencing redundancies among their course offerings. By combining their offerings in one coherent program, it became more efficient for departments and more effective for students. Also, the Marine Technology department can attest to this process because it has been able to acquire new faculty positions and improvement in equipment by demonstrating and persuading the leadership cadre as to the merits of what the department was trying to do for student outcomes and the overall health of the college. Declining programs have been restructured or discontinued at SBCC and MiraCosta due to responses from students, community advisors, and faculty and staff.

3. Faculty hires, terminations, or retraining, as well as equipment acquisitions, have come from program reviews as described by the Vice President of Instruction at MiraCosta.

Program review is a “critical tool providing valuable information for strategic planning and decision making” (Barak & Breier, 1990, p. 12), and “strategic planning provides the overall framework within which program review, as a tactical aspect of planning, is developed and implemented” (Barak & Breier, 1990, p. 124).

Summary of Program Review

Institutional program review is “a subprocess of strategic planning” where “internal strengths and weakness are assessed and internal capabilities are determined, thus contributing to an overall assessment of an institution that leads to a strategic plan” (Barak & Breier, 1990, p. 123). “A factor for gauging the effectiveness of program

review is the extent to which results of program reviews are used for other meaningful purposes” (Barak & Mets, 1995, p. 1).

Both colleges have well-designed processes for program review as defined by Spencer (1995). MiraCosta has a comprehensive process that includes curriculum review and provides an in-depth program evaluation during the 6-year legislated period. Santa Barbara’s annual review process is less structured and depends on timely institutional research for its institutional and program effectiveness data. It provides a continuous review dialogue between faculty and administration regarding program and student success and far exceeds the legislated requirement. The annual process allows for a more immediate change response, if necessary, to program, institutional, or state concerns and funding issues.

Obviously, program review is one of the tools that higher education can use to respond to its ever-changing environment. However, “the process depends on the personalities and problems unique to each campus” (Barak & Breier, 1990, p. xi), and what works at one program or institution may not work at others. But, when successfully designed and implemented, as demonstrated by both case study colleges, program review can lead to improved efficiency and effectiveness and be integrated into an active planning process.

Strategic Planning

College Plan

Umbrella document

Systematic process

Stakeholders

Thoughtful and substantive dialogue

Analyze

Scan

*Assess
Evaluate*

*Vision and mission
Objectives and goals
Action
College plan
Achieved and measured
Linked and implemented
Evaluate*

*Did it work?
What did we accomplish?
What do we need to rethink?
Living document
Continuous improvement
Used and integrated*

Institutional Effectiveness

Planning is the establishment of a readiness to act, throughout the organization, on the basis of a shared understanding of the organization's desired future (its vision), while maintaining awareness of both the organization and its environment (Chaffee & Jacobson, 1997, p. 233). There are two types of planning—strategic planning and operational planning. Strategic planning is opportunity seeking and addresses mission and strategy; it is the broad base and conceptual what, why, and where of the institution. It provides front-end focus—directing where the institution is headed—so that all institutional efforts are designed to go in that direction. However, operational planning is traditional and methodological; it is short-term, specific thinking that addresses implementation and results—the how of the institution (Below, Morrissey, & Acomb, 1987; Rowley, Lujan, & Dolence, 1997b).

Bryson (2004) stated that strategic planning is not a substitute for leadership; “strategic planning is simply a set of concepts, procedures, and tools designed to help

leaders, managers and planners think, act, and learn strategically” (p. 15), to help leaders and followers improve organizational achievement. He continued, “Used in wise and skillful ways by a coalition of interested parties, it can help organizations focus on producing effective decisions and actions that create value, further the organization’s mission, meet organizational mandates, and satisfy key stakeholders” (p. 15). In addition, “strategic planning seeks to improve on raw political decision making by ensuring that issues are raised and resolved in ways that benefit the organization, its stakeholders, and society” (p. 28).

As strategic planning began to take hold in higher education, it capitalized on existing elements of collegiate culture. The strategic planning approach is durable and has lasted over 25 years in higher education because it recognizes and respects the organizational environment, it is flexible, adjusting to internal changes in the organization and external changes in its environment (Bryson, 2004; Evans, 2005), and it “requires high levels of participation and analysis” (Chaffee & Jacobson, 1997, p. 231).

Each strategic plan is unique. Although each plan is developed to address the institution’s issues, needs, opportunities, and challenges, each process should contain the basic components for planning. Strategic planning requires consistent and continuous leadership “that is focused on fire prevention and less on fire fighting” (Morrison et al., 1984, p. 12). It monitors the external environment in which the institution operates. An effective strategic plan includes carefully planned communication that is strong and continual from inception until implementation. Attention to financial realities converts strategic plans into annual operational plans for full implementation throughout the

institution and sequential small wins demonstrating positive gains (Below et al., 1987; Bryson, 2004; Keller, 1997).

In planning, success is not always guaranteed, and it is often considered time and resource intensive, but it is beneficial “particularly when matched against the cost of potential failure” (Bryson, 2004, p.13). There are a number of concerns and issues to be considered when initiating a strategic planning process that can contribute to process failure: these are (a) the fear of change or “overcoming the lack of a sense of the need for change” (Rowley et al., 1997a, p. 279), (b) the use of business models on an academic framework without modification for local processes, campus politics, or needs (Birnbaum, 2000; Hass, 1997), (c) having an unsuccessful previous planning effort on campus or insufficient resources to implement the plan, making it difficult to believe that change is better, (d) poor communication of the vision and the strategic planning process, which contributes to a culture of skepticism and lack of trust due to a sense that the planning process has some ulterior motive, (e) that strategic planning is time consuming and often seen as another set of committee meetings to attend, which interrupts the primary purpose of teaching, and last, but not least, is (f) external context with factors from outside agencies over which the institution has little or no control (Bryson, 2004; Hass, 1997; Schuster et al., 1994).

In summary, strategic planning is dynamic and action oriented, aims to spend budgeted funds on what it reveals as important, and is based on the academic policies of the institution. Strategic planning is a group of people acting decisively and generally in concert to implement a strategy they have helped develop. Therefore, effective strategic planning “requires an organizational culture that is receptive to a shared vision, is willing

to understand both the organization and the institutional environment, and is trusting” (Chaffee & Jacobson, 1997, p. 233). Connections to cases for strategic planning are discussed with those for budgeting, since these processes are used together by both colleges.

Budgeting

Predictable operating budget
State funding – restricted
Grants, foundations
Lottery funds
President and business manager
Prepare and pronounce budget
 Or
The group understands
Asks questions
Learns about the budget
Talks about the budget
Takes organizational will
To open process
Make necessary changes
Relocate resources
Redirect the institution

The budget is a fiscal strategy that contains the objectives and the rules for allocating resources—the basis upon which allocations are to be made. Without resource allocation, essentially nothing can happen. Principles for long-term planning and budgeting “preserve organizational assets, invest in the future and deploy resources strategically” (Brinkman & Morgan, 1997, p. 291). Jones (1993) heightened this description by linking budgeting to planning by saying that “a budget’s primary function is to span the distance between intention and action. It is the device by which an organization carries out its plans and by which it signals its priorities” (p. 5). It

represents an institution's goals, represented in terms of money, for a specific time period.

The budget, like the strategic plan, is not created in a vacuum. Gone are the days of the top-down approach—only a few deciding in isolation what the budget will be. Budgeting has become an organization-wide activity that is tied to organizational strategy. Departmental unit plans are required to identify linkages with other units, identify the human resource implications of their plans, and identify evaluation measures to assess progress toward the institution's stated goals and strategies (Dill, 1997).

“Successful organizations are constantly improving their ability to accurately predict their future operations and their related resource requirements which heighten the importance of planning and budgeting processes” (Rasmussen & Eichorn, 2000, p. 3). If the central question of the budgeting-process participants is “Who gets how much?” “the focus is too narrow, especially if the intent is to implement an institution's strategic plan” (Jones, 1993, p. 6).

An institution that is able to create collaboration in its decision-making processes generally has clear directional statements and is focused on achieving the strategic plan goals. Salluzzo (1999) stated,

To create collaboration, the commitments that the institution makes must tie the mission directly to the budget, with the budget representing the plan's limiting factor or affordability index. This type of collaborative effort requires a strategic planning process that is both dynamic in nature and revisited each year. (p. 62)

In summary, budgeting is a process of making decisions that distribute appropriate and adequate resources to enable action (Jones, 1993). A well-executed “budget represents the implementation of the strategic plan over a shorter time horizon,” and, if disconnected from integrated planning, “the operating budget becomes the driving

force of the institution and the institution will have difficulty creating collaborative efforts” (Salluzzo, 1999, p. 62).

Connections to Cases

At both MiraCosta College and Santa Barbara City College, the planning and budgeting functions are combined, and the same group of individuals who are involved in the planning process also considers the budget realities—the Planning and Budgeting Committee at MiraCosta and the College Planning Council at Santa Barbara City College. There is an annual planning cycle, and although there are designated times of the year for specific functions, such as fall planning and spring budgeting, overall planning and budgeting are continuous processes.

At MiraCosta College, the Senate’s Academic Master Planning Committee receives and systematically uses program review as it develops action plans based on the recommendations of the Academic Policies and Procedures committee, and the findings are included into the college’s Academic Master Plan. These action plans provide the data for the next year’s planning and budget cycle. Action plans include the goal, objective, cost (if any), the responsible individual(s), and how the recommended outcome, activity, or initiative is related to the College Plan. MiraCosta College’s fall semester is devoted to planning and monitoring the current budget, and during spring semester budget monitoring continues along with the development of the next year’s budget. Action plans developed by academic departments or operation units are received, discussed, and prioritized by Planning and Budgeting Council and are funded when reached on the prioritized list. Resources are then allocated to implement the plan.

The College Plan is the central organizing document that guides the decision-making, planning, and budgeting processes at Santa Barbara City College. Planning at Santa Barbara City College is conducted on a 3-year cycle and the College Plan is revisited by the College Planning Council annually to check progress and to be revised as needed to address adjustments in the college's priorities. This Planning Council is the college's broad-based shared-governance committee for planning, resource allocation, and technology recommendations to the President and the Board of Trustees.

Planning occurs on the institutional level based on extensive and thorough institutional research that is linked to delivery of academic and student support services. When the college develops a new 3-year College Plan, there is a comprehensive review of the college mission, the previous goals and objectives, and the measured progress of each. Internal and external environmental scans are completed to assess federal, state and local issues and initiatives affecting their institution. Thoughtful and substantive dialogue involving college and community key stakeholders "consider all facets of the college within the context of fundamental forces for change that affect higher education" (Santa Barbara City College, 2002a, p. 6). Based on these factors, including the college's desire to maintain its competitive advantage and the pursuit of its vision to be the Model Community College of the 21st century, new and revised goals and measurable objectives are developed to achieve the college's mission during the next 3 years. On an annual basis these goals and objectives are measured to determine progress towards these ends, and adjustments or changes in priorities are made if necessary for progress.

The driving force for the College Plan is access and student success, so planning at the unit/departmental level revolves around student needs. After SBCC has developed

the overall 3-year plan, departments look at ways to implement the particular parts that are relevant to maintain, improve, and enhance their programs. Faculty and staff use the traditional and annual program reviews including institutional and departmental data (as described in chapter 4) to document needs, develop strategies, and make proposals and realistic requests based on the financial position of the college. These requests are then forwarded to the College Planning Council to be prioritized and included in the planning and budgeting process. The results of program review become the basis of departmental input into the College Plan, and, under ideal conditions, the College Plan is the primary reference for the formulation of the college budget.

Planning and budgeting functions are carried out through the year with budgeting having greater emphasis in the spring semester. Having plans is one thing, but being able to fund and implement them is the challenge. The SBCC budgeting process uses the collaborative bottom-up/top-down approach to budgeting, receiving input from both departments and upper management (Rasmussen & Eichorn, 2000).

California community colleges receive almost their entire operating budget from the state legislature. Of SBCC's funding, 90 to 95% covers salaries and benefits, and the College Planning Council "plans" how to use the remaining 5 to 10% of the funds. These funds cover basic expenditures such as utilities and occasionally provide for some innovations. In the "good years," these sums are supplemented with grants, lottery funds, Partnership for Excellence funds, and the SBCC foundation to enhance the college's general fund budget. Use of these funds may require approval from the Academic Senate before the request reaches the College Planning Council and the President. In the "lean years," there are no incremental increases or new money from the state, the college's

general fund remains the same or becomes smaller, and they must do less and depend primarily on local efforts to secure additional funds for enhancements. But, as Dr. Friedlander stated, "A lot of things we do have no budget implications."

Integration

*Program Review
Strategic Planning*

Budgeting

Highly organized

Participation

by all constituent groups

*Findings from program review
provide data*

for the next year's planning cycle

*Data from program review
drives budget allocations*

*Budgeting - the major link
between program review and planning*

Efficient use of resources

Integrated and meaningful

Resources allocated to strategic plan

Integration taken seriously

All chipping away at it

Institutional Effectiveness

The purpose of integrating the planning processes in higher education is to guide policy decisions that establish the future direction of the institution. This concept is supported by the literature, yet it remains difficult for institutions to accomplish (Spencer, 1995). The California Community Colleges' State Chancellor's Office was established to provide leadership and technical assistance and to monitor compliance with the California Education Code and with the AB 1725 reform law (California Assembly Bill 1725, 1988) for the California community colleges.

While there are mandated integration models of educational program review, planning, and budgeting for categorically funded programs such as Extended Opportunity Programs and Services, there is no such mandate for linking program evaluation to planning and then to budgeting at the local college level. Therefore, inconsistencies exist in the long-term planning and decision-making processes among the 107 colleges. What AB 1725 (California Assembly Bill 1725, 1988) did accomplish was to mandate that faculty be allowed greater participation and leadership in the decision-making processes of the college (Spencer, 1995).

At one time a model process and pilot was developed to monitor college-level strategic planning, but the model was never implemented system-wide due to the lack of funds allocated from the legislature. Therefore, the colleges were left to develop processes that work for them. Ideally, data from program review or action plans would be used to drive the budget development and allocation in an integrated process rather than each process operating independently.

“Integration is the bringing together of unifying parts to form a whole” (Spencer, 1995, p. 31). Integration is defined by Talcott Parson’s social system model as “the problem of maintaining solidarity or coordination among the subunits of the system” (Scott, 1992, p. 68). “Achieving integration of planning and decision making processes would facilitate reciprocal and mutual action between strategic planning, budgeting, and program review” (Spencer, 1995, p. 31). This reciprocity creates a process that allows the sharing of data analysis, problem solving, and preliminary decision-making that occurs in each individual process. Collaboration between and among the processes leads to final decisions that support the mission and enhance success (Spencer, 1995).

In analyzing the relationship between program review and strategic planning (including budgeting) in the literature, four patterns emerged: (a) no relationship, (b) linkage, (c) integration, and (d) program review as a driving force. First, the no relationship pattern is formative in nature and is used primarily by the program's or unit's faculty and staff for program improvement. It is probable that this pattern is diminishing due to changing institutional policies, management processes, or state and accreditation agency requirements and expectations (Barak & Breier, 1990).

The second pattern suggests related but informal linkages between program review, strategic planning, and budgeting. Although this pattern provides a degree of flexibility for management, these connections appear generally less positive than other patterns, may be applied selectively, and blur the purpose of program improvement. Those who benefit from the process are less likely to question the outcomes as opposed to those who are hurt in the planning and budgeting process (Barak & Breier, 1990).

The third pattern is utilized at institutions where the three management processes of program review, strategic planning, and budgeting are integrated. This pattern provides program review with consistency and clarity of purpose, and the faculty and staff appear to be more knowledgeable regarding each of the three segments of the integrated process. "In institutions using this approach, the reviews are but one element of the planning and budgeting processes, along with other factors such as accreditation reports" (Barak & Breier, 1990, p. 125). Because of the clear connections to planning and budgeting, there appear to be a few disadvantages of this approach such as (a) overstating the positive and (b) being less than candid with program challenges to avoid negative financial impacts (Barak & Breier, 1990).

The fourth pattern evidences program review as a driving force, and it plays a central role in the decision-making process. Although the program review process may become more stressful in this approach, again the program reviews are just one element in the decision-making process. Barak and Breier (1990) stated, “The basis of decision making is well known because the review reports are public information available for all to see,” and “it reduces the subjectivity of the planning and budgeting process” (p. 126).

Since 1977, the need for the integration of management processes has been discussed and recommended in higher education. McManis and Harvey (1978) proposed the planning, management, and evaluation model (PME) within the context of a PME system. The PME system “involves a systematic approach to planning (both long-range and short-term), systematic approach to management, and a formal evaluation system focusing on planned outcomes.” Planning is the ongoing process used by educational institutions to “reaffirm their mission and establish derived goals and objectives” (McManis & Harvey, 1978, p. 5). The planning component included setting objectives by gathering data, developing alternatives, and selecting the best alternatives. Management refers to the “processes, systems, and techniques used by decision makers to achieve the institutional objectives which were derived from the planning process” (McManis & Harvey, 1978, p. 6). The management component consisted of directing the accomplishment of objectives by organizing, allocating resources, delegating responsibilities, and controlling transactional information. Evaluation is the assessment of institutional performance as compared to the intended outcome and measurable objectives. The evaluation component included measuring attainment of objectives through review processes and measuring results (McManis & Harvey, 1978).

McManis and Harvey (1978) stated,

The advantages accruing to an institution of higher education from a fully operable PME system are considerable, but the system's implementation requires dedication and commitment on the part of the president and other top administrative officers. Before they can acquire this commitment, these leaders must understand what a PME system is and what it can do for their institutions. (p. 97)

Another model for integration was developed by Spencer in 1995. Spencer's (1995) ideal model of integration (Figure 5) depicts three interacting spheres based on Scott's (1992) technique in *Organizations: Rational, Natural and Open*. It delineates how, at different times, each process functions at three different levels. First, level one is non-integration where each process works in isolation from the other two for purposes of effectiveness and efficiency. Level two is limited integration where at other times communication will occur between two of the processes. Level three is when all three processes will interface and become fully integrated for the purpose of sharing data, decisions, and results. Dill (1997) supported this model when describing how "the design of the planning process can enhance institutional collaboration and integration" (p. 94).

Unsuccessful integration may be attributed to

a decision making process that is dysfunctional due to a lack of leadership and interest on the part of key individuals; complex processes that are difficult to understand and work with; dysfunctional planning, budgeting, and outcomes assessment processes; and unrealistic expectations for program review. (Barak & Sweeney, 1995, p. 17)

When integration is not present, "each process works in isolation and in ignorance of the data collected and analyzed, problems identified, and decisions made from choice opportunities of the processes." Consequently, "work is unnecessarily duplicated, critical long- and short-term decisions are made from a position of constricted information flows,

and plans are not coordinated among the strategic planning, budget planning, and program evaluation/review processes” (Spencer, 1995, p. 2).

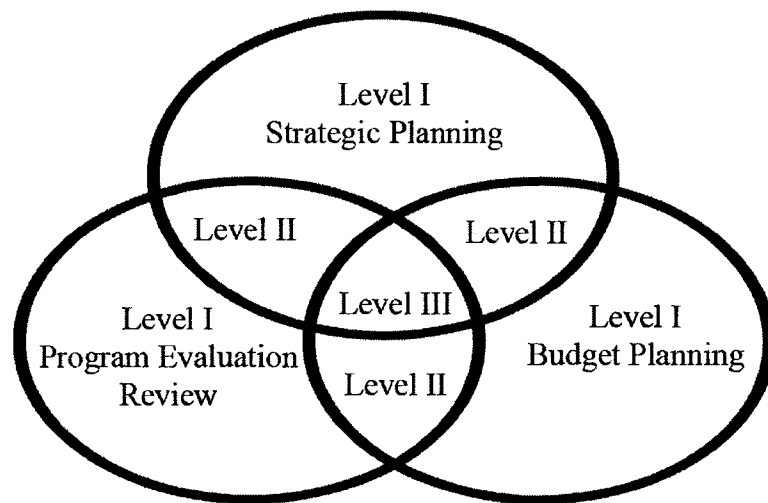


Figure 5. Spencer’s ideal model of interacting spheres. *Note.* From *Integration of Planning/Decision-Making Within the Community College: Supporting and Inhibiting Forces*, by P. A. Spencer (Doctoral dissertation, University of California, Riverside, 1995). *Dissertation Abstracts International*, 56, 2979. Copyright 1995 by P. A. Spencer.

As in other aspects of life, too much of a good thing may have drawbacks. If the processes merge to a point of continual and total integration or a combination of all activities, integration would be taken to a level of elementary redundancy and to a new level of dysfunction within the system. In an ideal model of integration, program review, strategic planning, and budget planning, at different times and for different purposes, function at all three levels of integration. However, the ideal is rarely, if ever, achieved (Baldrige, 1983; Schmidlein & Milton, 1990; Spencer, 1995).

Connections to Cases

Both MiraCosta College and Santa Barbara City College function fully at Spencer's (1995) level one (non-integration) as evidenced by their individual (a) program review process and activities that evaluate the success or failure of their instructional and student services programs; (b) strategic planning process and activities, including environmental scanning, and the development and revisiting of their missions, goals, and objectives on a regular basis leading to the use of these outcome statements in the development of their comprehensive college plans; and (c) budget planning process, which estimates income and expenditures and allocates resources.

Level two, limited integration, is met by the integration teams of both colleges. The Planning and Budget Committee at MiraCosta College, led by the President, and the College Planning Council at Santa Barbara, led by the Executive Vice President, develop strategic plans and decisions in conjunction with the budget process and allocate resources based on goals and objectives in their respective college plans.

Level three activities are more complex and require a greater level of collaboration between the offices assigned for implementation of program review, strategic planning, and budgeting. In the area of program review, Spencer (1995) identified four activities that indicate integration at level three: (a) efficient use of resources as a measure of evaluation that links to allocation of future resources, (b) determination if the level of funding affected program performance, (c) evaluation criteria based on program ability to implement the strategic plan, and (d) program review used to prioritize budget allocations. In the area of strategic planning, two activities are identified that indicate integration at level three: (a) findings from program review providing data for next year's planning cycle, and (b) budget realities being considered in

the strategic planning process. In the area of budget, three activities are identified: (a) data from program review being utilized to drive estimation of probable income and expenditures, (b) data from program review being utilized to drive budget allocation, and (c) resources being allocated to implement the strategic plan (p. 34).

At MiraCosta, faculty, department chairs, and administration use the program review process to gather information for initiating, expanding, reducing, consolidating, and terminating programs. The process is intended to build upon and enhance previously gathered program information and provide free exchange of data to meet the short- and long-range needs of students in a positive collegial atmosphere. Four of the seven goals of the MiraCosta process are to (a) provide information used for the academic master plan, (b) develop quantitative data and qualitative evidence for each area, whether it is fulfilling the vision, mission, or strategic goals of the college, (c) recommend effective and efficient utilization of college resources, and (d) improve institutional effectiveness (MiraCosta College, 2003).

Based on the review of historical documents and program review reports, the Academic Policies and Procedures committee receives and evaluates the program review outcomes and forwards recommendations regarding allocations of future resources and funding affecting program performance. Part of the evaluation criteria is based on the program's ability to implement or advance the college strategic plans by participating in the college action plans, and the findings provide data for the subsequent planning cycle. MiraCosta College's program review outcomes are included in the determination of probable expenditures in the prioritization process, but it is not the only means of determining budget allocations. Based on observations and documents from the Planning

and Budgeting Committee, resources are allocated to meet annual operational needs and to implement the strategic plan.

Santa Barbara City College's systematic process for the collection, analysis, interpretation, and presentation of program data is utilized in making judgments about the effectiveness of programs, facilitating program improvements, and promoting effective planning. The three purposes or goals of the process are to (a) evaluate how well programs function in relation to the mission of the college, the College Plan, and the department's objectives and goals, (b) improve instructional programs and promote student learning and achievement of desired educational outcomes, and (c) aid the department and the college in planning and decision making (Santa Barbara City College, 1998a).

Based on the review of historical documents and interviews, program review outcomes are forwarded from the department faculty and chair to the area dean and to the Executive Vice President of Educational Services. The program review process includes the first three activities identified at level three of integration with some use of program review to influence the prioritization of budget allocation. There is a linkage between what the department identifies as needs and how the department contributes to achieving the objectives of the College Plan. Recommendations from the Educational Services Office are forwarded to the College Planning Council for consideration, prioritization, and inclusion in the annual college planning and budgeting process, which addresses the two integration activities in the strategic planning area and the first and third activities in the area of budgeting.

It is less clear that the data from program review are directly used to drive budget allocations. As indicated by each of the college presidents, level three is much more challenging and neither believes that it has been fully achieved. Integration to the point of utilizing program review outcomes to prioritize budget allocations is often made difficult by the uncertainty of the state's political budget-funding process. Dr. MacDougall shared that integration becomes more theoretical on the budgetary front mainly because with only cost-of-living adjustments and growth funding, almost all new money that is received goes into salaries, and there is very little left over for new and innovative activities. Some one-time monies that cannot be committed to ongoing activities are helpful in developing technologies and setting up the sustainability of the technology. At the time of data collection, both colleges were receiving Partnership for Excellence funds that could be used for special projects, innovations for student learning, or services. These funds provide opportunities to address budget deficits, program improvements, staff development, and the need for additional staff and curriculum. Other sources of external funds that can be used for program improvement include grants, contracts, and college foundations that provide non-traditional programs, services, and activities. Figure 6 represents the core critical components of the proposed integration model. This simplified model shows that the processes must be connected, but the way in which they are connected will vary from institution to institution.

Summary

A review of the literature on integration reveals that there is a need to integrate program review into the decision-making processes. Strategic planning authors have indicated the desirability and necessity of linking program review with planning and

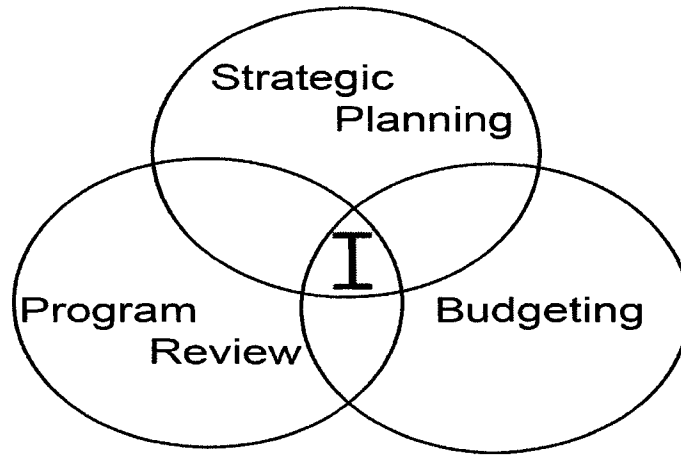


Figure 6. Core critical components of the proposed integration model.

budgeting processes (Below et al., 1987; Keller, 1983). Schmidtlein and Milton (1990) and Barak and Mets (1995) suggested that integration with program review is related to successful planning.

Other integration proponents have developed models for the implementation of linking program review, strategic planning, and budgeting. McManis and Harvey (1978) created “an orderly process for decision-making”—the planning, management, and evaluation system (PME), which provides “a flow of information” between the three management processes. Wynn and Guditus’s (1984) model intertwined the major academic management activities of program review, strategic planning, and budgeting with communication and decision making. Spencer (1995) advocated an “ideal model” of integration that describes how planning and decision-making processes can work together and facilitate reciprocal and mutual action between the management processes. It outlines how at different times each of the three processes operates at three different

levels—isolation, limited integration through some communication between the processes, and full integration in which all three processes interface for the purpose of sharing data, decisions, and outcomes. This model encourages and enhances institutional cooperation and collaboration. When integration is not present, the decision-making processes work without the benefit of shared information, work is unnecessarily duplicated, and decisions are made without full information.

Both MiraCosta College and Santa Barbara City College are intentional about the integration process, and the use of elements of the “ideal” integration model is evident. The integration is best seen as the sharing of information about the program review data and outcomes from the instructional side of the colleges, with the planning and budgeting bodies facilitating and developing the strategic plans and recommending budget allocations. Level one and level two activities are clearly evident, and a significant use of level three activities in program review, strategic planning, and budgeting is apparent. It is also evident that there would be a closer alignment to the ideal integration model if adequate funding were available.

CHAPTER 6

CROSS-CASE ANALYSIS—LEADERSHIP AND CULTURE

Introduction

The literature suggests that most schools have the three primary management processes of program review, strategic planning, and budgeting and provide services that support their missions, but have limited or no integration due to administrative turnover or restructuring, unsynchronized planning cycles, complex processes that are not easily understood, limited expertise or training for full participation of faculty and staff, and lack of formal, effective communication about the processes. In addition, heavy work assignments for faculty and administrators also hinder collaboration and the desire to take on expanded responsibilities (Birnbaum, 2000; Bryson, 2004; McManis & Harvey, 1978; Spencer, 1995).

My second research question, What are the critical components in a successful integration process for institutional effectiveness? seeks to explore the critical components for a successful integrated process and the reasons why integration is closer to full implementation at MiraCosta College and Santa Barbara City College. This chapter discusses the roles of leadership and institutional culture, which for this study includes shared governance, open communications, flexibility, and a data-rich environment with accountability, as well as how these factors contribute to integration.

Critical Components for Effectiveness

“Leadership and culture are conceptually intertwined” (Schein, 2004, p. 11).

McManis and Harvey (1978) identified 10 reasons why planning, management, and evaluation systems fail: (a) organizational instability, (b) refusal of managers to alter their administrative styles, (c) refusal of top administrators to plan and delegate responsibility, (d) lack of presidential support, (e) failure to develop new skills, in particular, objective-writing and quantification skills, (f) failure to understand the system—usually the initial system is too complex, (g) lack of professionalism on the part of managers—they fail to see themselves as “professional” managers, (h) lack of time for implementation, (i) expectations of the system that are too high, and (j) individual evaluation that is too closely tied to the initial implementation and becomes a highly emotional “tail that wags the dog.” These reasons have continued to be relevant in subsequent literature (Floyd, 1985; Mets, 1997; Rowley et al., 1997a; Spencer, 1995).

Mets (1997) suggested that for planned change to occur there are at least three critical factors that influence the successful use of program review outcomes: “leadership, communications, and integration of program review with other institutional processes” (p. 354). This section reviews the critical components that contribute to a successful integration process for institutional effectiveness. These critical factors emerged in both case studies.

The first critical component consists of the leadership models used at both colleges and their impact on the integration process at the colleges. The second critical component is the institutional culture, its individual sub-component parts, and how these subsets interact with each other. Some aspects of the critical components are introduced

with a found poem in cases where the language of the participants called for this alternative representation of the theme.

Leadership

*Committed and experienced
Developing a culture of trust
Taking a fresh look at itself
Revitalizes its reason for existence*

*Process centered
A paradigm shift
Rethinking organizational processes
Sets direction
Articulates vision and mission*

*A team of people
Scans environment for changing needs
Complete rethinking of how work gets done
Strategic alignment of processes and mission
Uses business processes and methods
In a systematic way
To improve the institution*

*Leadership team
Institutional Effectiveness*

Leadership is a significant component in establishing and maintaining strategy and institutional effectiveness as defined in this study. Nichols (1995) stated,

Overcoming campus inertia and encouraging institutional effectiveness implementation will take decisive action on the part of the institution's CEO. . . . The CEO must not only support implementation but also openly evidence that support. . . . It is their actions that will (or will not) convince those on the campus of their sincerity. (p. 16)

Gayle, Tewarie, and White (2003) describe leadership as the "the roles and processes through which individuals seek to influence decisions" (p. 24) and the need of academic constituent shareholders "to have confidence that their leaders know where they are going" (p. 27). This confidence requires a vision. Leadership articulates the

vision and mission after listening to and reflecting on the needs of the institution and sets the tone for collaboration and cooperation. This “vision is essential for success and must evolve through the dynamic interaction of organizational members and leaders” (Fullan, 1999, p. 28). Effective leaders build on selected values, sharpen the focus, and move toward identified goals. They are self-aware and are able to anticipate and cope with the ever-changing realities and risks of organizational life (Gayle et al., 2003).

Presidential leadership, supported by other administrative leadership, is critical in creating and guiding the management processes within which consequential deliberations occur (Schuster et al., 1994). President Dong of MiraCosta came to the college with a history of inclusion and of dialogue and can be best described as collaborative. President MacDougall of Santa Barbara City College has served over 20 years and has been nationally described as transformational for his unique way of regularly positioning and repositioning the college to respond to the surrounding community and enabling the college to create its preferred future (Nelson, 1992).

Collaborative leadership enables staff by “establishing through example and coaching a team environment where both dialogue and discussion occur” (Ramsden, 1998, p. 163). It builds high-performance relationships and mutual trust (Clove & Goldsmith, 2002). This vital competency of academic leadership is to advance collegiality and mutual respect, as well as provide an environment of openness and empowerment “where it is safe to suspend assumptions” (p. 163), even when there is disagreement (Senge, 1990). Ramsden (1998) suggested that “the most creative academic teams are constructed on the principle of shared vision and collective regard” (p. 164), as well as fairness and consistency.

Ramsden (1998) described transformational leadership as a “value driven form of leadership that engages followers through inspiration, exemplary practice, collaboration, spontaneity, and trust” (p. 66). It is “a moral process whereby both followers and leaders are raised to higher levels of motivation and virtue” (p. 110). This type of leadership is distinguished from the “Hobbesian view of leadership as exchange based on rewards and driven through followers’ self-interest” (p. 111).

Although each president has exhibited a different leadership style, both promote dialogue and discussion, assess ideas against established outcomes, view conflict as positive and relatively comfortable, and have long-term adaptable visions based on broad principles of problem solving (Ramsden, 1998). Yet each has cultivated a leadership style that fits with his institution’s culture. Dr. Dong’s statement that “it is fortunate that up to this point there’s a good match between what I want to do and what the culture will allow” reflects his understanding of the benefits of a suitable pairing between the college and its primary leader. Both presidents have a synergy of purpose, energy, and enthusiasm to create an environment that supports continuous improvement; both have a mental model for leading the organization. Both have interpersonal skills and influence that enable them to navigate through different perspectives, attitudes, values, and beliefs yet maintain a high level of trust of their constituents.

Gayle et al. (2003) stated that “collective leadership may be just as important as executive leadership. A leader is truly only as good as the people attracted to work with him or her” (p. 58). At MiraCosta, Ed Coate, Vice President of Business and Administration, was given the mandate by the President to establish and facilitate a participatory strategic planning process. He did this by utilizing his extensive

background and hands-on experience with total quality management. The President selected the theory and principles of open book management and the experiences of open organizations and proceeded to overlay the total quality management planning process with accountability and financial information necessary to make sound academic and fiscal decisions with supporting action plans. The President of Santa Barbara City College utilized the accrediting process and the theory of business process reengineering to identify and restructure college processes and services to improve instructional delivery and services to students for the continuous improvement of student learning while striving to become the model community college of the 21st century. The Executive Vice President, Dr. Jack Friedlander, who oversees the program review process, also facilitates the details of planning processes by chairing the Planning and Budget Council, while the President utilizes the process outcomes to inform his final decision making.

One of the challenges of leadership is to “balance the need to be deferential” to the planning and budgeting bodies and their recommendations, thus enhancing their credibility, “without surrendering the heavy responsibilities of independent judgment indispensable to wise stewardship” (Schuster et al., 1994, p. 199). While collaboration and teamwork are necessary in a rapidly changing environment, these should not preclude thinking and acting. Effective leaders create a mental picture of where they want the institution to go and can be trusted to get the institution there (Ramsden, 1998).

Although both colleges have champions for the program review, planning, and budgeting processes, the Presidents play a decidedly different role. At MiraCosta, the President chairs the Planning and Budgeting Committee and so is aware of the

discussions that precipitate the final recommendations. He then is responsible for the final recommendations to the Board of Trustees. At Santa Barbara, the President receives the recommendations from the College Planning Council and makes the final decision about what to present to the Board of Trustees. Both Presidents support the concept of the integration of program review, strategic planning, and budgeting. The other members of the team provide leadership at varying levels and all serve vital leadership roles in the day-to-day operations of the three management processes of program review, planning, and budgeting.

Both of the colleges studied had the leadership components necessary to engage in the change process needed to integrate program review, planning, and budgeting. MiraCosta had strong presidential support and involvement, along with the Vice President of Business Services as champion and facilitator for strategic planning and the Vice President of Instruction and the Academic Senate's Academic Policies and Procedures committee leading the charge for program review, supported by the Vice President of Student Services, faculty and classified representatives, and the Dean of Institutional Research. Santa Barbara's process of integration, which is academically orientated, is strongly supported by the President, facilitated by the Executive Vice-President of Educational Services, and supported by the Office of Institutional Assessment, Research, and Planning, as well as the Academic Senate.

"Leaders build synergistic teams through open communication founded on active listening, influence based on trust, integrity, a sense of caring, and clearly stated values" (Richardson et al., 1994, p. 42). Building a dynamic and effective organization is ultimately a matter of meshing the different subcultures by encouraging the evolution of

common goals, common language, and common procedures for solving problems (Schein, 2004). “MacDougall’s creative and innovative management focuses on maintaining flexibility in positioning the organization strategically in uncertain and turbulent environments” (Nelson, 1992, p. 121).

As with all change processes, the integration of program review with planning and budgeting requires strong leadership and support from all levels of leadership—strong leadership in the sense of presidential commitment, or, if not the President, a designated person with authority or influence to champion the process, who is persistent and results-oriented, and who has a knowledgeable and committed planning team. The leadership team at MiraCosta College, like Santa Barbara City College, consists of individuals who bring long-term educational experiences, strengths, and commitment to their roles. With few exceptions, these teams, along with their governing boards, are best described as collaborative and stable (in their positions at least 3 years). The teams have built their current planning and decision-making processes on the long-term history and foundation of collaboration and trust by the colleges’ constituent groups.

While facing external and internal challenges, both MiraCosta College and Santa Barbara City College have remained internally stable with Presidents, Vice Presidents, and other leadership participants who have served in their positions 2 or more years and have seen minimal turnover in members of the Board of Trustees, the majority of whom have served the district for more than one term (Spencer, 1995). At the time of data collection, two exceptions to these criteria exist at Santa Barbara City College, where the Director of Institutional Assessment, Research, and Planning was a new position and Dr. Andreea Serban was in her 2nd year and Vice President for Business Services, was in his

1st year with the college. This level of stability confirms Schein's (2004) assertion that "with a stable membership and a history of shared learning" (p. 22), a group of people will create some level of culture. He continued, "In order to achieve consensus on goals, the group needs a common language and shared assumptions about the basic logistical operations" (p. 93).

Summary

Skillful leadership is vital to managing change and continuous improvement of an organization. Although these college presidents have decidedly different leadership approaches, they have three major things in common. First their leadership style is an appropriate fit for their organization and its culture. Second, they both have a purpose: to lead an institutionally effective college that is equipped to meet its ever-changing environment. This purpose, guided by their mental model, is fueled by their energy and enthusiasm to lead their institutions and inspire their stakeholders. Third, both are authentic leaders who are self-aware with clarity and satisfaction regarding their values, priorities, and life choices. They have aligned their values and behaviors, they support a participative and collegial environment, and they seek continuous improvement by college constituents, thus serving as role models for others seeking leadership opportunities. Both have selected leadership team members who are able to join them in motivating and promoting cooperation in constructive and adaptive change, especially in the integration of the academic management processes.

Overall, the leadership at both colleges is stable, which generates cultural clarity and consistency. At the time of data collection, with few exceptions, the Boards of Trustees, the Presidents, and their collective leadership teams had been with their

colleges for 2 or more years. This time has allowed openness and trust to develop among the college constituents. Astute leadership is the indispensable ingredient necessary to launch and cultivate an institutional culture that is intentional about the success of an integrated process that leads to institutional effectiveness. Indeed, “leadership and culture are conceptually intertwined” (Schein, 2004, p. 11).

Institutional Culture

“Culture is an abstract, yet the forces that are created in social and organizational situations that derive from culture are powerful” (Schein, 2004, p. 3). “Culture and leadership are two sides of the same coin.” Cultural norms define leadership, and “the only thing of real importance that leaders do is to create and manage culture” (Schein, 2004, pp. 10-11). One of the most potent dynamics of an organization is its culture—culture filled with values, beliefs, customs, and traditions shared by its members and that identifies the organization’s uniqueness. This same culture can facilitate change or stifle growth if it is not accounted for in the planning phase of any process. “Culture is deep, pervasive, complex, patterned, and morally neutral” (Schein, 2004, p. 188), meaning there is no right or wrong culture, *it just simply exists*. Each of the colleges in this study has a definite and distinct institutional culture that affects its progress towards the big-picture goal of institutional effectiveness.

Nelson (1992) described Santa Barbara City College as a “powerful model of organizational culture with shared values at every level” (p. 31). A math professor at SBCC, stated that “Santa Barbara is the house that Peter MacDougall built and the faculty is the heart and soul of that house. They make the house a home.” This statement is reflective of the culture at Santa Barbara City College and of the collaboration between

leadership and the faculty. Another faculty member said that the “college’s common and deep abiding focus on students keeps us going in the right direction.” This culture is so deeply embedded in the organization that the students can feel and articulate the openness, trust, and participatory nature of the college as they describe their educational experience.

MiraCosta’s culture—assumptions and patterns of behavior—has also been forged over time and external challenges to include cooperation, collaboration, student success, and doing the right thing. This culture fosters a people- and outcome-oriented environment that engenders trust by its constituents. One faculty member commented that if she was not aware of any college-related information or situation, it was not because it was an intentional mystery on the part of the leadership. A walking tour of each college provides a visual image of the institutional culture by revealing the interactions of students, faculty, staff, and their campus individuality through the design and care of the landscape, buildings, and furnishings. The institutional cultures of the case study colleges have similar threads of shared governance, flexibility with a culture open to change, accountability through college-wide assessment with data-informed decision making, effective communication, and an environment of openness and trust yielding collaborative results. These threads are overlapping and interconnected and are discussed in the following sections as I sought to better understand the “warp and woof” of their institutional culture.

Shared Governance

“Effective governance provides institutional purpose, clarifies strategic direction, identifies priorities, and exerts sufficient control to manage outcomes” (Gayle et al.,

2003, p. 1). The perception of what constitutes effective governance differs depending on one's position, authority, responsibility, and perspective, whether trustee, administrator, faculty, staff, student, or community member at large. Institutional politics and culture further compound the complexity of these perceptions. Gayle et al. (2003) defined shared governance as "a mutual recognition of the interdependence and mutual responsibilities among trustees, administration, staff, faculty, and students for major institutional decision making relating to mission, budget, teaching, and research." Schuster et al. (1994) suggested that the primary challenge to shared governance has been the making of "significant decisions in a timely manner with the flexibility and participation required . . . without sacrificing academic values and unavoidable complexity on the altar of efficiency" (p. 18).

The purpose of shared governance is to establish mechanisms and procedures designed to develop a collegial relationship of intelligent planning with legitimate participative governance—from dysfunction into harmony. The natural tension between planning and governance is due to their different orientation to decision making. Planning, especially strategic planning, looks for future possibilities and enhanced opportunities, while governance is grounded in the present and focused on solutions for day-to-day operations (Lyall, 2001; Schuster et al., 1994).

This combination of definition and purpose, when applied to the ever-changing balance of forces in the consultative process of primary governance entities, such as Academic/Faculty Senates, Staff Senates, Student Senates, Administrative/Deans Councils, and Presidents' Cabinets, frequently produces situations of slow or no response when the institution is poised for change to respond to external conditions and/or the

needs of the college community, therefore creating the need to increase vigor and speed to respond to changing political agendas (Gayle et al., 2003; Lyall, 2001).

In an effort to streamline the shared governance process, Keller (1983) proposed a new model termed the “Joint Big Decisions Committee.” The purpose of this committee was to provide a way to blend and balance broad representation and the “features of planning and governance in an integrated model of decision making” (Schuster et al., 1994, p. 27). Schuster et al. (1994) renamed this committee the “strategic planning council.” The viability and effectiveness of this model leans heavily on leadership, clear focus, and institutional readiness (Schuster et al., 1994).

Both MiraCosta and Santa Barbara colleges have adopted and implemented the strategic planning council model to address the management functions of planning and budgeting. MiraCosta’s Planning and Budget Council and Santa Barbara’s College Planning Council function in an advisory role to the Presidents and the Boards of Trustees. The councils are committed to both long-range and short-range planning. Both councils are composed of a broad cross-section of constituent group leaders who have communication/reporting responsibilities to their members. This communication enhances the feeling of community and participation in the decision-making process, which prompted one administrator from MiraCosta College to say that “everybody is responsible for the success” of the integration process. Each council has college leadership that is committed to making the shared governance process effective through an open organizational environment. Both councils receive program review outcomes embedded in departmental plans that are prioritized and incorporated into their College Plans.

The primary difference between the councils is that at Mira Costa College, the President chairs the Planning and Budgeting Council, while at Santa Barbara, the Executive Vice President chairs the College Planning Council and reports its recommendations to the President, as discussed in chapters 3 and 4.

From the inception of the college, MiraCosta faculty and staff have valued cooperation and collaboration and have participated in some form of shared governance. They have a stable faculty and staff that have learned to trust each other and work together for the common good. President Dong stated that in his experience, “shared governance or a collaborative model was more real at MiraCosta than anywhere else” and that he did not start it; it was already there. Dr. Dong’s arrival at the college has raised the stakes of collaboration by adding classified staff to the mix as well as access to accurate data necessary for good decision making. One of the students interviewed shared, “Having student representatives on major committees and councils makes MiraCosta very student-friendly and student oriented.” Students feel heard. One administrator stated, “There is no adversarial thing going on. There are no unions in the college and folks are satisfied.”

Since 1988, all 107 California community colleges are required to have a system of shared governance, but the institutional culture of cooperation at MiraCosta preceded the legislative requirement, and this culture has helped them through many changing situations, as described in chapter 3.

Santa Barbara City College engages in a consensus-building decision-making process that gives college shareholders an opportunity to participate and be heard. The College Planning Council is responsible for the College Plan, resource allocation, and

budgeting. At the time of data collection, the make-up of the council was weighted with administrators, and faculty and students appeared to have a more visible role, involvement, and voice than the classified staff. One of the core values espoused by the college is collaboration and collegiality of faculty and staff. This is seen in the various management and governance committees as well as other college processes, including labor relations as demonstrated by the fact that there are no faculty unions on this college campus. The 2002 accrediting team visit acknowledged Santa Barbara City College's relationship between faculty and administration as "shared governance at its best" (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 33).

Dr. Friedlander recognized that with "lots of debates and discussion," he gets a better College Plan. Although there may be disagreement on issues, people respect each other. Dr. Friedlander continued, "Things are working both ways where there is an expectation of cooperation and shared governance working here. . . . There is healthy skepticism but not resistance."

Both these colleges show the following evidence of the effectiveness and impact of the "strategic planning council" model: (a) decisions made in conformity with the institutional mission and priorities in an orderly, systematic, and consultative process, (b) solid working relationships that foster goodwill, trust, and ownership in the recommendations, (c) increased sharing of information and greater communication to educate the college constituents about the decision-making processes, (d) a sense of fairness as to how resources are allocated to both academic affairs and student services,

and (e) a process that reinforces the linkage between program review, planning, and budgeting.

Some may question the significance of the effectiveness of the “strategic planning councils” in the colleges when they are substantially deliberating over no more than 5 to 10% of the total institutional budget and special funds, when available. But when there is openness, trust, and a sense of fairness over what you can control, sometimes that is enough.

In an effort to bring about harmony from dysfunction, authentic shared governance embraces openness and trust. This open environment then becomes the foundation of the institution’s management philosophy. McCoy (1996) stated,

Openness is ownership—ownership of information, of responsibility, of results, and much more. An open environment provides all participants with an understanding of the intent of the organization. It provides all participants with the capacity to comply with the intent of the organization and the opportunity to develop agreement with the intent of the organization. An open environment results in an understanding that change is normal and it cultivates an attitude of accountability. (p. 12)

This open environment creates mutual understanding, respect, and partnership instead of an us-versus-them conflict. Subsequently, this environment suggests that a flat organizational structure, rather than a hierarchical structure, is beneficial to the institution. The flat organization reduces the need for an elaborate capacity for control of information. Rather, it creates the need for networking and broader access to and distribution of information. This reduces the fragmentation and isolation of the employment population that contributes to “distrust between factions” and “inaccurate information exchange,” which are common indicators of lack of trust (McCoy, 1996, p. 36).

Trust was defined by Nooteboom and Six (2003) as “the extent to which one is willing to ascribe good intentions to and have confidence in the words and actions of other people, viewing trust as a dimension of interpersonal relationships” (p. 126). Trust between individuals and groups within an organization is viewed as a highly important ingredient in the long-term stability of the organization. Gayle et al. (2003) stated,

Building trust within the institution is critical to overall success. This trust can be earned only by a clear vision that is shared by the community, meaningful values that are plainly articulated, and that authentically represents the community, and a credible link between words and actions on the part of academic leaders. (p. 59)

To further emphasize the importance of trust, Cornesky et al. (1992) stated that

trust helps institutions function effectively, and although it may take years to establish, trust is necessary for effective management. Like other administrative leaders, it’s hard to imagine a successful institutional team without a reasonable degree of trust and credibility. Faculty and staff will know trust is present, essential, and predictable. Administrators should be predictable; their positions should be known. (p. 65)

The absence of trust can short-circuit organizational development and interrupt even the most creative and best-laid plans (McClenney, 1982). People who do not trust their leaders become their adversaries, and even serious negotiations will not turn the tide. Integrity leads to trust, which is reflected in honesty and frankness, properly clothed in tact (Cornesky et al., 1992). Leaders should “attempt to accentuate the positive, maintain the desire to excel, and be biased toward action” (Cornesky et al., 1992, p. 66).

Farmer (1990) stated, “While trust is most readily achieved through open communication between individuals and groups on campuses, trust is also enhanced when there is a history of making decisions in a way that reflects a clear and sensitive understanding of the culture of a campus” (p. 10). Keller (1988) suggested that the value

of openness in communication despite the risks of premature disclosures is crucial.

Keller noted, in a reappraisal 5 years after publishing *Academic Strategy*,

I have come to see the urgency of good, timely communication. When you start planning everyone get nervous. . . . The strategic planning process will be hurt if fear and apprehension build, if those planning do not keep their colleagues abreast of what is being considered for the future. (p. 4)

In summary, openness, participation, and involvement build trust. A review of the shared governance processes at MiraCosta and Santa Barbara City College as described in chapters 3 and 4 provides evidence of open environments with opportunities for broad participation and involvement in the decision making of the colleges. This evidence supports faculty and staff comments revealing trust in their administrators and processes.

Communication

Communication is the dynamic process underlying “the existence, growth, change, the behavior of all living systems—individual or organization.” It is how “the organism relates itself to its environment, and its parts and its processes one to the other” (Thayer, 1968, p. 17). Both MiraCosta and Santa Barbara City College have communication systems that emphasize the importance of informing campus constituencies. Their strategic planning councils are vehicles for receiving information, acting on it, and explaining the reasons for their decisions and recommendations, with the intent of dispelling rumors and misperception (Schuster et al., 1994). These communication processes are reciprocal, with a (upward and downward) pathway that requires active listening by both leaders and constituents. This is accomplished through feedback loops by distributing or posting of agendas and minutes, discussion documents and reports from meetings, open forums and presentations, and campus communication

organs such as newsletters. “The challenge is to balance the need for openness with the need to avoid premature disclosures that would jeopardize the strategic planning councils' basic responsibilities” (Schuster et al., 1994, p. 199).

Ruben (2000) stated,

Communication is the process through which organizational directions are set, leadership and collaboration takes place, information is gathered and disseminated to and from internal and external stakeholders, and work process coordination and collaboration occurs. It is the mechanism through which relationships are formed and developed—relationships which are essential to the creation of culture and spirit of teamwork that is necessary to support and maintain a service orientation, and an overall organizational commitment to excellence. (p. 195)

At Santa Barbara City College, effective communication is demonstrated by the clarity of mission, goals, and direction, as well as a clear expectation for their implementation. It enables them to problem-solve. Dr. Friedlander described their communication process as friendly with a great deal of dialogue that is respectful. He stated, “We disagree on things but it isn't personal.”

Keyton (2005) added,

Organizational communication is a complex and continuous process through which organizational members create, maintain, and change the organization. . . . All organizational members participate in the process. . . . Process is transactional in which all parties enact both sender and receiver roles to create mutual and shared meanings of messages. (p. 13)

Shared meaning is not always achieved in organizational settings, but certainly the process is mutual and understandings are created. However, the interpretations created or derived from these interactions may not be mutual. SBCC's Dr. Serban stated that “it is good to let people know up front what you are trying to do, and I think they did that here with the whole communication process,” which demonstrates the desire for open communication through multiple modes of communication with the college community.

Institutional communication organs, such as newsletters, provide additional opportunities beyond the State of the College address each semester. Use of the Academic and Classified Senate is another mode of communication to inform constituents.

In summary, communication is a two-way conversation with a feedback mechanism. Leaders of administration and constituent groups must communicate and listen with consistency and unambiguous clarity of purpose. When trust is high, communication is easy, effortless, instantaneous, and accurate. When trust is low, communication is difficult, exhausting, and ineffective, reducing the institution's ability to have integration of processes and institutional effectiveness.

Flexibility—A Culture of Change

Change is a response to an organization's internal or external opportunities and challenges. Change is a threat to the status quo—the traditional patterns of behavior and the traditional ways of doing things under usual circumstances. "Responsive strategies do not appear on schedule, immaculately conceived. They can happen at any time and at any place in an adaptive organization" (Mintzberg, Ahlstrand, & Lampel, 1998, p. 68). People and organizations do not resist change nearly as much as they resist being changed. Resistance to change as defined by Senge (1990) is "a response by the system trying to maintain an implicit system goal" (p. 88). Institutional leaders should be sensitive in facilitating change and assisting employees with transitions and proposed changes. They should begin with open discussions of possible causes of resistance (Howell, 2003).

During an organization's life cycle, rapid and continuous change creates a dynamic environment that forces movement due to information, relationships, and

identity. This allows a dynamic organization to explore alternative paradigms and seek innovation and greater organizational adaptability. McCoy (1996) believed that when you include employees in your strategy, “you include their built-in capability for flexibility. This flexibility enables an organization to place strong emphasis on multiple strategic elements concurrently” (p. 25).

The environmental forces that motivated Santa Barbara City College and MiraCosta College toward flexibility are similar, such as changes in student demographics, uncertainty in funding, shifts in technology, and employer and labor demands. But their response to these forces has been different. MiraCosta College’s flexibility centers around continuous improvement of existing processes such as planning, budgeting, and program review, where as Santa Barbara City College’s visionary changes regularly focus on major operational sections of the college and their desire to be the model community college for the 21st century. Planned change is a way of life for SBCC. Both the colleges depend on a willingness to share power, extend trust, and establish open communications; therefore, they are able to adjust as environmental challenges arise.

Planned change is different from other types of change. Mets (1997) contended that “when we are engaged in planned change efforts, we are engaged in persuasion and empowerment. Individuals need to be persuaded to adopt the change(s); and once they are persuaded, they need to be empowered to implement the change(s)” (p. 349). This suggests that although planned change is viewed through multiple frames and models, there are shared elements that lead to successful implementation of planning efforts. These elements include

(a) persuasive and credible evidence that there is a need for change, (b) an agreement that the change is desired, (c) a broad base of participation by members throughout the organization in the change process, (d) the technical and resource means to achieve the change, (e) a capacity for organizational learning and problem solving, (f) ongoing communication throughout the change process, and (g) leadership to facilitate and sustain the change process. (Mets, 1997, p. 349)

Both colleges use their planning process as a facilitating tool rather than a control tool. MiraCosta uses change to respond to questions about programs: How can we improve? And how can we be better at doing our jobs? MiraCosta's Vice President of Instruction expressed a desire to have living planning documents, suggesting the need for regular review and adjustment. Vice President Ed Coate characterized this attitude by saying, "There's nothing that we are doing right now that I would change unless somebody came up with a [good] new idea, in which case we'd incorporate it."

One faculty member likened SBCC to a snowball constantly gathering momentum. She stated, "We are constantly changing, evolving, adding new things, and trying to be creative." During an interview, a former Executive Director of the Western Association of School and Colleges for Community and Junior Colleges, commented that "SBCC reinvents itself every 5 years."

Data and Accountability

*In God we trust
All others must use data*

*Retention data
Grade distribution data
Costs
Student contact hours
Number of students
FTE faculty*

*Staffing patterns
Data
Available to everyone*

On the web
Just point and click
Data
Used by academic programs
Non-academic programs
Data
To inform decision making
Program needs
Future initiatives
Data
Information flowing freely
Up and down the organization
Quality practitioners
Want to see data
Publicly
Data
Making sure programs are supported
In the long-term
Data
Driving decisions
to the lowest level possible
Asking pertinent questions
Data-rich environments
Institutional Effectiveness

One of the ways to determine institutional effectiveness is through the assessment process that creates an information-rich environment and fosters data-informed decision making. Both colleges have active and responsive institutional research capabilities, providing a culture of evidence to support effectiveness. At MiraCosta, President Dong stated that “their accountability system was just emerging.” Increasing availability of data to constituent group members through the college’s research website also required increased expectation for accountability. In addition to student services reporting, these data are used for program review, planning, and ultimately budgeting, as priorities are set utilizing this information. President Dong has required greater accuracy and

accountability, and he has also provided the means to achieve it through the development of the Office of Institutional Research.

Santa Barbara City College has been on the forefront of assessment and accountability by contributing to a state accountability model for the collection, analysis, and reporting of student data to the State Chancellor's Office. At the college, staffing patterns, program improvements needs, anticipated future needs, and new initiatives are funded based on data received from measuring institutional effectiveness objectives and indicators established for college-wide assessment. Bill Hamre commented, "Information flows freely both up and down the SBCC organization. Administrators work hard at keeping their constituencies informed." It was observed by the 2002 accreditation team that SBCC's "use of effectiveness indicators and research and analysis for improving performance is deeply embedded into the culture and traditions of the college that program managers and members do not even fear public availability and discussion of indicators with negative trends" (Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges, 2002, p. 10). These occurrences are viewed as opportunities to explore alternative strategies to improve performance.

One SBCC faculty member stated that "any kind of information that we can gather that makes the experience for students better is a uniting factor and one that makes us keep trying to do things better. And we get that input through program review." Clark (1983) stated that "academic program review or evaluation is only one part of institutional assessment for strategic planning" and is often considered "a key element in the evaluation of institutional strengths and weaknesses since it focuses attention on the

performance of individual programs, departments, or other units, which is helpful when the results are linked with the planning process” (p. 27).

“The data collected as part of an academic program review must be relevant, credible, accurate, timely, and persuasive. Without these characteristics, the data will not be used. Assessment is the activity that links the evaluation and planning processes” (Clark, 1983, p. 32). There is a circular relationship between evaluation and planning processes that emphasizes the continuous nature of both activities. In addition to being timely and believable, data must be useful and used. Some institutions often collect and report externally required data but fail to interpret and apply the interpretation of the data to continuous improvement efforts. Cloke and Goldsmith (2002) suggested that open access and strategic thinking contribute to “weblike structures that facilitate access” (p. 152) to data and “expand rather than control and constrict” (p. 152) information and the people who use it—constituent group members—and are responsible for it—institutional researchers. They continued,

As the sheer complexity and mass of information grows, interpretation becomes increasingly strategic and critical to successful, coordinated organizational evolution. . . . Data functions are no longer separated into silos or departments. . . . New technologies geometrically expand information sharing, allowing cross fertilization, democracy, and strategic integration. (p. 153)

Therefore, institutions can base their decision on fact rather than on intuition or assumptions.

Summary

Institutional culture is context-bound, therefore individualized, for each organization. It is the glue that enables organizations to problem-solve.

MiraCosta has a history of shared governance that is collaborative, cooperative, and collegial, but it has become more meaningful since the arrival of Dr. Dong, the additional openness of planning and financial information, and an increase in access to data. There is a sense of accountability to the internal and external college community that demonstrates and documents that what they do makes a difference. The high trust factor is important to the college's ability to be flexible and adaptable to the changing needs of their environment. It appears that their motto is not *If it's not broken, don't fix it*, but rather *Yes, this is working, but how can we make it more effective?*

Santa Barbara City College also has a culture of openness, mutual trust and respect, and sharing of information that permeates all its processes. That is not to say there is no disagreement or skepticism about new ideas, but this questioning is thoughtful and the differences are negotiated, thus leading to greater buy-in and participation through effective communication. There is systematic assessment of their planning to determine the effectiveness of their goals and how far they have come towards achieving them. With this research and information they are able to produce data-driven decisions that direct the college. These factors, along with a stable administration, give rise to a dynamic organization that is able to embrace change and reinvent itself to stay responsive to its environment.

The shared-culture domain is characterized by an environment where administrative and faculty influences are balanced. Both groups are encouraged to participate in efforts to define priorities and plan for their achievement. This balance of power in a shared culture leads to joint responsibility and authority. Together, faculty and administrators build a common history based on long-enduring assumptions, values, and beliefs that are communicated through the organization's rituals, activities, and practice. Creativity, innovation, and risk taking play key roles. Efforts to relate faculty and administrative behavior to well articulated institutional priorities promote a supportive family-like atmosphere. (Richardson et al., 1994, p. 48)

Although the shared governance model is implemented differently, administration and faculty at each college had operated in the context of collaboration prior to California's Community College Reform Act—AB 1725 (California Assembly Bill 1725, 1988). Classified staff and students have more recently been brought into the dialogue at the governance table. While the literature extensively sets forth concepts of collaboration and shared decision making (Floyd, 1985; Gayle et al., 2003; Gumpert, 2000; Kezar & Eckel, 2000; McCoy, 1996; Schuster et al., 1994; Yammarino & Dansereau, 2001), it fails to present a model that integrates program review, strategic planning, and budgeting that would enable colleges and universities to utilize success emulation as a means of developing and implementing an integrated planning and decision-making process (Spencer, 1995). In chapter 7, a proposed model for integration will be presented and discussed.

CHAPTER 7

CONCLUSION AND RECOMMENDATIONS

Introduction

This chapter is a review of the problem and purpose of my study, the methodology used in this study, and the findings from the literature and qualitative data I collected. This chapter includes a discussion of the findings, a proposed model of integration that incorporates a holistic view of the institution, and recommendations for colleges and universities and future research.

Problem and Purpose

Effective institutional planning is vital to the ability of community colleges to deliberately respond to external and internal pressures to increase accountability and demonstrate institutional effectiveness. A significant indicator for assessing the effectiveness of a program review process is the use of the outcomes for other institutional purposes such as research, planning, and resource allocation—in other words, informed decision making. In the past, program review, planning, and budgeting processes for the most part have been independent functions or limited in their integration within an institution. The current trend of performance-based funding, as well as the need to satisfy the requirements and expectations of accrediting bodies, has made it necessary for colleges to develop well-integrated management processes. The constant

social, economic, demographic, and technological changes in today's society are forcing institutions to come up with a new integrated planning paradigm to rapidly accommodate these changes.

The literature provides theories of integration, but little has been written about how these theories are successfully translated into practice. My multiple study was conducted to investigate two community colleges that are intentional in their efforts to connect their program review process to their institutional planning and budgeting processes and the conditions that make the integration effective and successful. I anticipated that this study would be useful for understanding and creating a new paradigm that could inform other California community colleges seeking compliance with accrediting bodies and endeavoring to become learning organizations.

Conceptual Framework

There are multiple perspectives on theory and conceptual frameworks in qualitative research. McMillan and Schumacher (2001) (as cited in Anfara & Mertz, 2006) suggested that

a theory (1) should provide a simple explanation of the observed relations relevant to a phenomenon, (2) should be consistent with both the observed relations and an already established body of knowledge, (3) is considered a tentative explanation and should provide means for verification and revision, and (4) should stimulate further research in areas that need investigation. (p. xvii)

Yet Creswell (1994) argued that

In qualitative study, one does not begin with a theory to test or verify. Instead, consistent with the inductive model of thinking, a theory may emerge during the data collection and analysis phase . . . or be used relatively late in the research process as a basis for comparison with other theories. (pp. 94-95)

The conceptual framework developed to answer my research questions was established in two complimentary ways. First, I reviewed and synthesized business economics, government, and management theory literature as well as the operation of the three planning and decision-making processes of program review, strategic planning, and budgeting. I also reviewed the literature about integration theory and how it relates to the three planning and decision-making processes in community colleges. During the analysis, the emerging themes expanded the conceptual framework to include research in social science theories such as leadership and organizational culture. This theoretical framework provided focus, understanding of the colleges, and connections with the literature that gave me a new language for discussing the research outcomes. This conceptual framework resonated with my thinking and perception of the phenomena as well as the analysis and synthesis of the colleges' data (Morgan, 1986).

Clearly, multiple view points from experts in the literature offer explanations as to why the case study colleges were operating in their chosen manner. Several theoretical threads were woven together to inform, influence, and construct the conceptual framework of this study. The literature enabled me to synthesize the what, how, and why of program review, planning, and budgeting and how integration can and should work.

Deming's, Juran's, and Crosby's contributions in quality management theory are based on the all-encompassing concepts of process improvement and continuous improvement to satisfy the customer's expectations based on data, open communication, informed decision making, and teamwork rather than competition. While Deming's and Juran's philosophical foundations dealt primarily with the product quality improvement process, Crosby's concepts were behavioral and were focused on management and

organizational change of culture and attitudes (Evans, 2005; Crosby, 1995; Juran, 1995). This new way of thinking—total quality management, or continuous quality improvement in academic circles—functions best in a horizontal open system where leaders are “vision-givers, listeners, coaches, team workers themselves; committed to quality . . . orchestrators and enablers of people-driven improvement” (Marchese, 1997, p. 508).

Hammer and Champy’s (1993) theory of business process reengineering is process centered and causes an organization to rethink all its operations. Tierney (1999) believed that reengineering was the engine that would drive colleges and universities into high performance as the process helped them rethink their organizations, challenge the status quo, and redeploy their resources. He stated, “Leaders who engage in reengineering are not “incrementalists, they are visionaries with large goals” (p. 26). Reed (1999) countered that “the character of educational institutions requires a different approach to leading and planning” (p. 32) due to resistance to radical change.

John Case (1995) added to this philosophical understanding with his open book management theory. Case promoted open communication, especially in the area of fiscal management, accountability, and data-driven shared decision making, which changes individual and organizational perceptions and understanding about the organization’s purpose and objectives. He felt that his book was “about how people can work together in ways that are both satisfying and productive” (Case, 1998, p. 215). These three major ideas of continuous improvement, process reengineering, and an open environment set the foundation for the mental models used by the college presidents in my study.

Due to the American public questioning higher education's ability to provide high-quality yet cost-effective education, current issues are centered on accountability, diminishing fiscal resources, labor market expectation of graduates, and external interest in performance-based funding. These issues are not new and conversations in the literature have suggested that since the late 1950s and early 1960s, program evaluation through program review processes have become accountability tools to assess the effectiveness of programs and services in reaching the college's mission (Barak & Breier, 1990; Conrad & Wilson, 1985). In the past, many institutions have conducted program reviews, but the outcome data were not utilized in an effective manner, much less interactively linked to other decision-making processes. The literature shows that "where program review is implemented properly and used effectively, it proves to be a useful tool for improvement and change" (Barak & Mets, 1995, p. 1). Three factors are necessary for successful implementation of program review process and outcomes: leadership, communication, and integration of program review with other institutional management processes such as planning and budgeting (Barak & Sweeney, 1995; Hoey, 1995a, 1995b; Mets, 1995a, 1995b; Wroblewski, 1995).

Mintzberg (1994) stated, "planning is a formalized procedure to produce an articulated result in the form of an integrated system of decisions" (p. 12). Strategic planning has its roots in the military and business management. Mintzberg (1994) and Birnbaum (2000), among others, have challenged the idea that business practices are appropriate for higher education institutions. They believe that most of these attempts have had brief and limited evidence to support claims of success. Yet higher education, including accrediting bodies, continues to advocate that strategic planning of some sort is

beneficial (Bryson, 2004; Keller, 1997; Peterson, 1997; Salluzzo, 1999). Case (1998) contributed,

Strategic Planning has to be an active, explicit process. If the plan sits on the shelf, or if it sits unexamined and unexpressed . . . it is worthless. A strategic plan has value only if it serves as a guide to action . . . if people know what the objectives are. (pp. 21-22)

In order for the planning process to be effective, there needs to be adequate resources to fund the identified activities. Budgeting is the management process of making collective decisions that distribute resources to enable actions and plan implementation. It is a critical management tool and is the financial expression of the institution's intentions over the current year, as well as the long-term financial outlook. Jones (1993) stated, "there is a need for strategic budgeting as well as strategic planning for an approach to budgeting that reflects an institution-wide perspective on resource allocation" (p. 7). Salluzzo (1999) added, "An institution that creates collaboration between planning and budgeting generally is one with clear direction (as defined through its mission and strategic plan) and focus on achieving the goals established in the strategic plan" (p. 62). Finally, Chabotar (1999) contributed that the essence of budgeting is its "explicit link" to the organization's strategic plan. The challenge now is to link or integrate these processes in a meaningful and useful model.

The early work of McManis and Harvey (1978) on their planning, management, and evaluation system demonstrated the flow of information between the three management processes. Wynn and Guditus's (1984) model of integration portrays the academic management activities as intertwined with communication and decision making; again, identifiable strands woven together and functioning as a whole. Mets (1995a, 1995b, 1997, 1998) emphasized and highlighted the benefits of integration of

program review, planning, and budgeting. Spencer's (1995) work identified the complex forces that complicate integration, yet provided an ideal model of integration that showed how planning and decision-making processes could work together and facilitate reciprocal and mutual action between the management processes in a non-linear fashion. Each of these theorists described the need for integration and what was needed in the process, but the most obvious need was the "how." Schein's (2004) work in leadership and culture provided greater contextual understanding of how and why the colleges in my study are successful in their efforts toward integration implementation. Last but not least, Senge's (1994, 2000) work led me to compare the characteristics of the case-study colleges to characteristics of quality and learning organizations. The case studies demonstrated that a singular theoretical framework was not sufficient to explain what was happening at these institutions. It is the multiple perspectives that shed light on the complex phenomenon of integration of budgeting, program review, and planning.

Methods

For this study I used a qualitative research design. Two community colleges were purposively selected to participate in the study based on their intentional efforts to implement an integrated model for institutional effectiveness. The case study method was employed with the intent of discovering through interviews, focus groups, and visual representation the best practices and principles for integrating program review, strategic planning, and budgeting. This inquiry method also allowed the significant features of the colleges' culture to surface in a spontaneous manner. The established criteria required that each college (a) be in California, (b) show continuous improvement in ongoing processes, and (c) have a champion of integrated planning in place. Data were then

gathered from interviews and focus groups with administrators, faculty, staff, and students. Other data sources included on-site observations of various planning and budgeting process meetings, as well as the collection of current and historical documents relevant to program reviews, strategic planning, and budgeting. Documents pertaining to mission statements, curriculum, accreditation reports, and minutes from various committee meetings were also reviewed. Data were manually coded, analyzed, synthesized, and represented by found poems. Through this process I was able to identify effective and successful practices of integration and observe the accompanying institutional culture.

Conclusions and Implications

The conclusions of this study are reported under each research question.

Research Question #1—Integration

The first research question examined how program review is integrated into the strategic planning and budgeting processes. There is no single method that will accommodate every institution; however, there are some basic practices and models that can be customized. The results of the data analyses indicate that every institution has its own leadership style and unique culture that will be a determining factor in implementation; however, the more open the culture and management style, the more integration friendly. Open access to planning and budget information necessary for program review integration will be defeated if tight controls and authority are important to the organization.

Colleges' utilization of these three management processes falls into three levels of integration, with the final outcome described as one of four categories: (a) no

relationship at all, (b) linkage, (c) integration, and (d) program review as a driving force (Barak & Breier, 1990; Spencer, 1995) as defined by their activities. When each process flows or links into the other, providing a fully integrated system, there is a flow of information, which serves to maximize institutional effectiveness.

My first conclusion is that when the three processes are understood by the college constituents and the constituents participate, there is a greater level of faith and trust in the outcomes. The second conclusion is that funding or the lack thereof frequently impacts the degree to which integration is possible. Although there are some activities or initiatives that do not require additional monies, when college budgets focus on the bare essentials of salaries and operational expenses, it is difficult to fund new initiatives for program improvement without additional external funds. The study suggests that integration requires an investment of time and allocation of sufficient resources, both human and financial, to develop a synchronized process and college plan that reflects the mission of the college and balances the workload of administrators, faculty, and staff in a way that allows them to participate in the integration processes. My final conclusion is that when integration is not present, the decision-making processes work without the benefit of shared information; work is unnecessarily duplicated and decisions are made without full information.

Both MiraCosta College and Santa Barbara City College are intentional about the integration process, and the use of elements of the “ideal” integration model is present. Level one and level two activities (Spencer 1995) are clearly evident in these schools. Several examples of these are (a) environmental scanning, (b) ongoing review of mission, goals, and objectives with comprehensive plans based on these directional statements and

budget process, (c) planned allocation of resources based on the goals and objectives developed during the planning process, and (d) evaluation of programs. Significant use of level three activities is apparent, as evidenced by (a) outcomes from program reviews providing data for future planning cycles, (b) data and budget realities being carefully considered and used to inform the planning and budget phases, and (c) the funding of the budget. It is also evident that there would be closer alignment to the ideal integration model if adequate funding were available so that data from program review were used to inform and drive estimation of probable income, budget allocations, and expenditures. Also, a greater level of integration could occur if (a) efficient use of resources was used as a measure of evaluation that linked to allocation of future resources, (b) a college could determine if level of funding affected program performance, (c) a college used evaluation criteria based on program ability to implement the strategic plan, and (d) program review findings could be used to prioritize budget allocations.

Research Question #2—Leadership and Institutional Culture

My second research question was, What are the critical components in a successful integration process for institutional effectiveness? The two major themes, leadership and institutional culture, and several sub-themes emerged from observations, interviews, focus groups, visual representations, and documents. The first major theme, leadership, is a critical component at all levels. Skillful leadership of a designated champion is vital to managing change and continuous improvement, such as the integration of the management processes of an organization. Leadership style is individualized, but to be successful it needs to be an appropriate fit for the organization

and its culture. Leadership guided by a mental model develops a pathway on which the institution's vision can be reached.

People and institutions are naturally resistant to change. It takes an exceptionally strong but extraordinarily flexible leader to inspire the confidence needed to accept change in the traditional institutional setting. The two presidents in this study shared several common leadership qualities that favored the creation of institutional effectiveness: having an appropriate fit culturally, being personal champions of institutional effectiveness; valuing clarity; and being supporters of an open participative environment. Both men have enjoyed the overall stability of their leadership teams. In this study, stability is defined as leaders serving in their positions for at least 3 years. Stable leadership can generate cultural clarity, consistency, and also an environment conducive to consistent change. This type of stable yet adaptable leadership is indispensable in achieving the necessary institutional culture that becomes the incubator for institutional effectiveness.

The second major theme, institutional culture, plays a significant role in and is the second critical component of successful integration. One of the most important things that institutional "leaders do is create and manage culture" (Schein, 2004, p. 11). Organizational culture consists of the values, beliefs, customs, and traditions that are shared by its members and uniquely identify the organization. The organization's collective assumptions and behavior patterns are also a part of its culture. "There is no right or wrong culture, it just simply exists" (Schein, 2004, p. 188). However, this culture will affect the progress of the organization towards the big-picture goal of institutional effectiveness. Both colleges in this study express a culture that reflects

cooperation, collaboration, student success, and doing the right thing. They have the similarities of shared governance providing a balanced distribution of power, flexibility with a culture open to change, data-rich accountability, and effective methods of communication. These cultural qualities are the main ingredients for the progressive development of institutional effectiveness. Both presidents felt that their colleges had not achieved full integration but had made significant strides towards integration of planning and decision-making processes.

The combination of these critical factors yields a new or modified mental model for achieving institutional effectiveness through the integration of program review, planning, and budgeting. This study adds to the existing knowledge base by validating the literature that states integration is possible and beneficial in a real-world experience despite the many complex challenges in the academic environment. The study also provides a new contextual lens to view the integration process holistically—the major processes in relationship to the institutional culture and how that relationship can enhance the effectiveness of the organization.

Proposed Model of Integration

The implementation of academic structure and management will always need to be sensitive to the specific needs and culture of a particular institution, but in the new transformative context the organization and administration of all colleges and universities will require greater flexibility in decision making, more participation in governance, more integration on both the vertical and horizontal dimensions, and greater delegation of authority and responsibility to the appropriate strategy level. (Dill, 1997, p. 94)

Based on Spencer's ideal model of interactive spheres (Figure 5), which illustrates the three levels of non-integration, limited integration, and integration of program review, planning, and budgeting, I propose another model (Figure 7) for the purpose of depicting

not only the planning and decision-making processes but also the critical factors and environment in which successful implementation of integration and institutional effectiveness may occur.

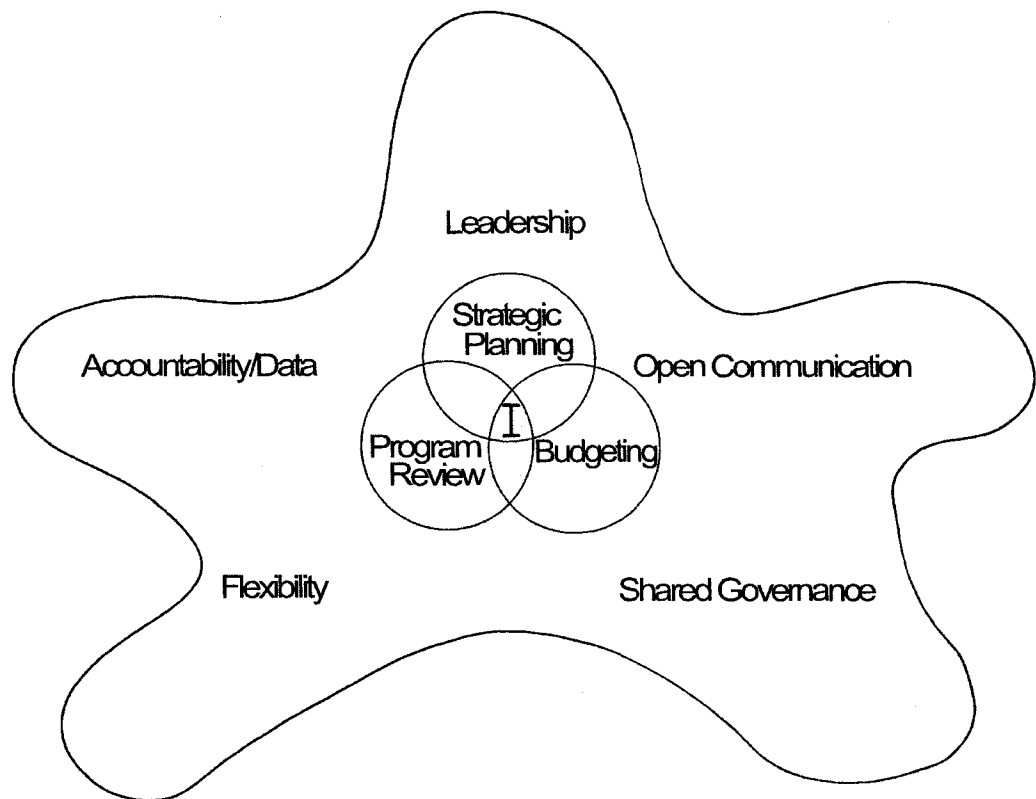


Figure 7. Proposed model for integration and institutional effectiveness.

The model is threefold, illustrating how the processes are able to inform each other, that their outcomes are linked, and a cultural context that provides a holistic view of the college for improved decision making, as well as increased and improved participation in the decision-making process through leadership, shared governance,

openness to change, and access to and use of data, demonstrating *power with, not power over*.

Colleges as Learning Organizations

The same critical components of leadership, culture, and successfully integrated processes for institutional effectiveness also can be used to indicate organizational quality and characteristics of a learning organization. “The learning organization that continuously improves to meet the needs of a fast-paced, changing environment requires a culture that supports shared vision, a willingness to understand the organization and its environment and trust” (Chaffee & Jacobson, 1997, p. 240). The institutional culture that I found at both MiraCosta College and Santa Barbara City College can be described by Ruben’s (2000) six core concepts of organizational quality—service orientation, leadership, information, process improvement and collaboration, communication, and continuous improvement.

Senge’s (1994, 2000) core disciplines that describe the learning organization set forth a conceptual framework that makes the patterns of the case-study colleges clear. The leadership in both organizations practiced personal mastery by continually clarifying and deepening their personal and organizational visions. The organizations were seeking to be proactive rather than reactive to their environments. The leaders utilized mental images that influenced the college’s world and the actions they took to build a shared vision, team learning, and openness. Both MiraCosta and Santa Barbara Colleges have characteristics that validate quality and learning. Their extraordinary efforts of collaboration and continuous improvement for coping and learning have produced a culture that is the result of the learning process.

Recommendations

Conclusions strongly indicate that the integration of program review outcomes, strategic planning, and budgeting increases the institutional effectiveness of colleges. These components are more effective when leadership and organizational culture are considered and overlaid on the institutional structure, which then affects organizational behavior. Community colleges can ill afford to continue with uncoordinated planning and decision-making processes. These principles are also transferable to 4-year institutions. With this in mind, the following are recommendations to other academic institutions:

1. Develop a stable leadership that is knowledgeable about and sensitive to institutional culture. Stability is important to the integration process and should be evaluated before beginning an integration process.
2. Develop theory-based leadership and management practices that are effective guides in developing and implementing the institutional vision and goals.
3. Create an institutional culture that encourages broad-based participation, cooperation, and collaboration. Develop an integrated fiscal- and strategy-planning process that is simple, easily understood, open, and acceptable to college and university communities.
4. Identify the integration team carefully. Individuals serving in the integration process should include balanced representation of functions and diversity of thought. Provide additional training for these individuals in the fundamentals of program review, planning, and budgeting, as needed.

5. Revisit current program review, planning, and budgeting processes to re-visualize and redesign how they can become synchronized, interactive, and recursive. Eliminate duplication of effort and link new initiatives to ongoing operations.

6. Build in enough resources—people, support, and monies—to ensure successful implementation. Set aside 1 to 3% of the budget to support and encourage innovation and continuous improvement projects.

Recommendations for Future Research

The purpose of this study was to identify and investigate colleges that were intentional about their efforts in integration. It also examined whether the ideal model is workable and being utilized in a real-world college environment. Additional comparative studies on colleges with varying degrees of stability in structure, leadership style, and culture would determine whether findings are applicable beyond this study. In addition, additional studies could examine other models that have been developed that provide results similar to integration.

APPENDIX:
INTERVIEW PROTOCOL

Interview and Focus Group Questions

Opening

1. Tell us your name, position in your organization, and the number of years at your college.

Introductory

2. When you hear the words *program review*, what comes to mind?

Transition

3. How have you been involved with program review?

Key

4. What outcomes or results from program review have you observed or heard about?
5. How are these outcomes or results integrated into the planning and budget processes?

Projected Question - Draw a picture

Draw a picture or diagram/flow chart showing what the integrated process looks like, or the integration process is like.

6. Based on your experience, would you say that the integration has been successful?
7. Thinking back, what would you say is responsible for this success? Who would you say is responsible for this success? What is your role?
8. If you could change one thing about the integration of program review into the planning and budgeting processes, what would it be?

Ending

9. What advice would you give another college wanting to integrate program review outcomes into the planning and budget processes?

Summary

10. How well does that capture what was said here? Have we missed anything?

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